

Fig-1

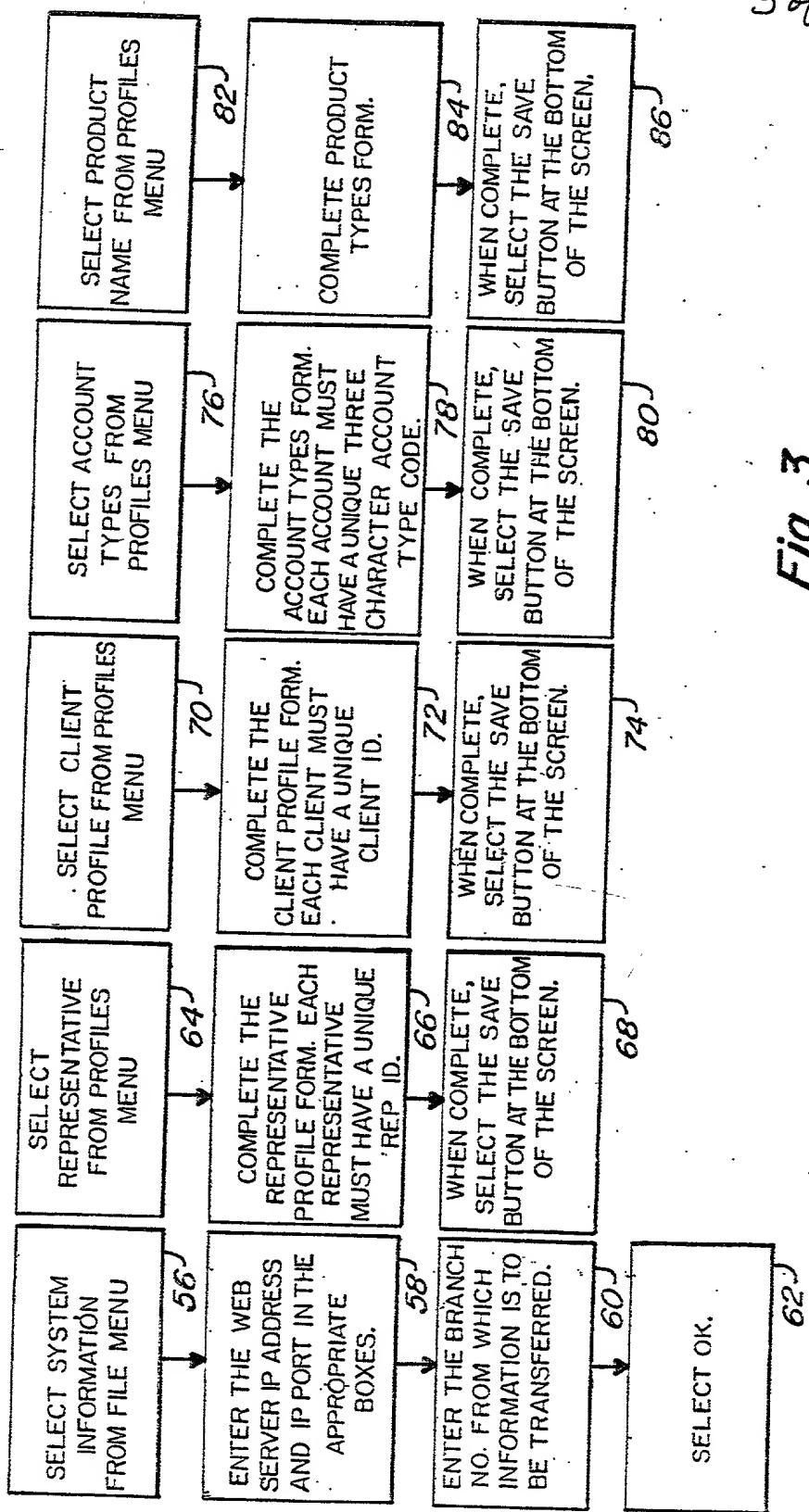
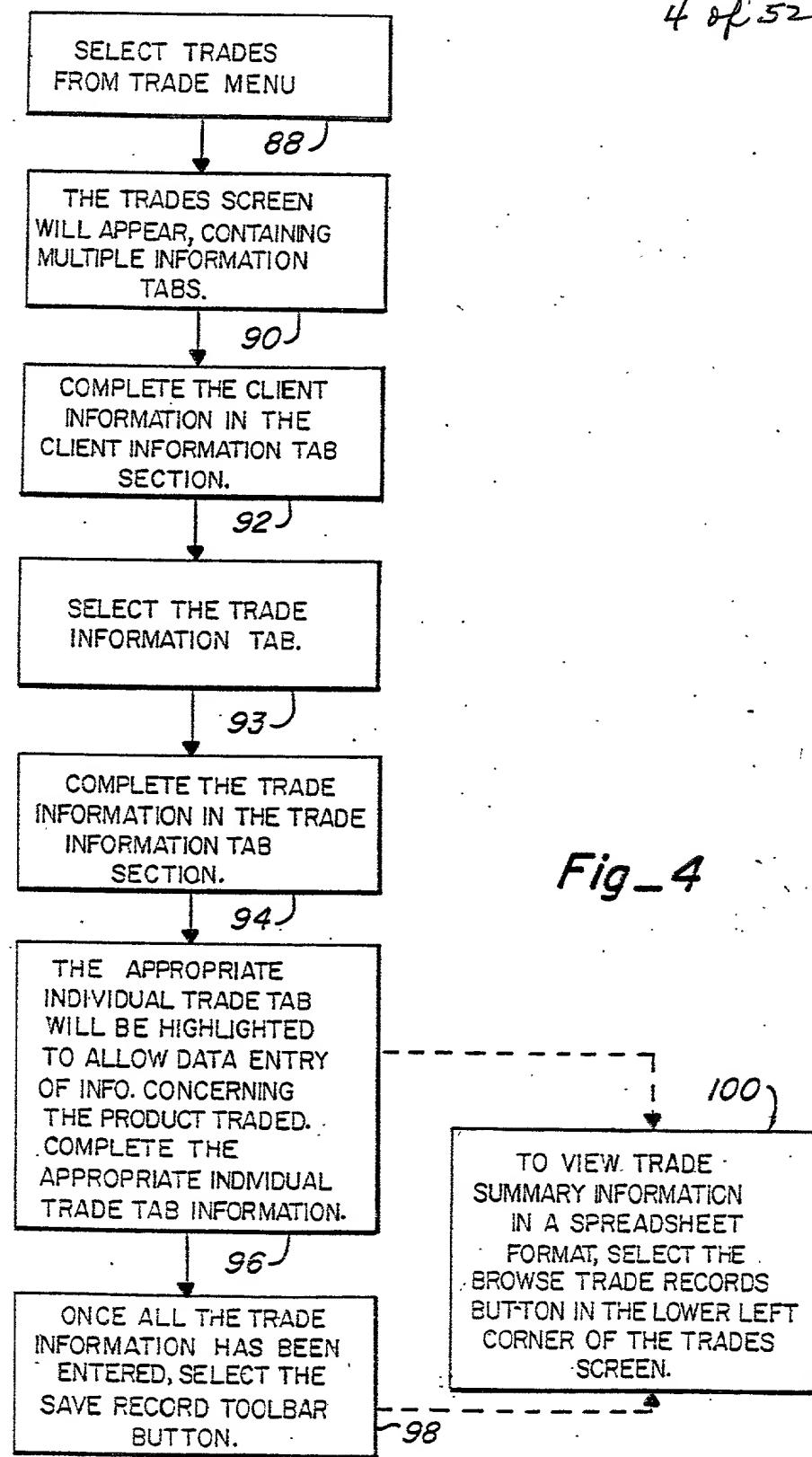


Fig. 3

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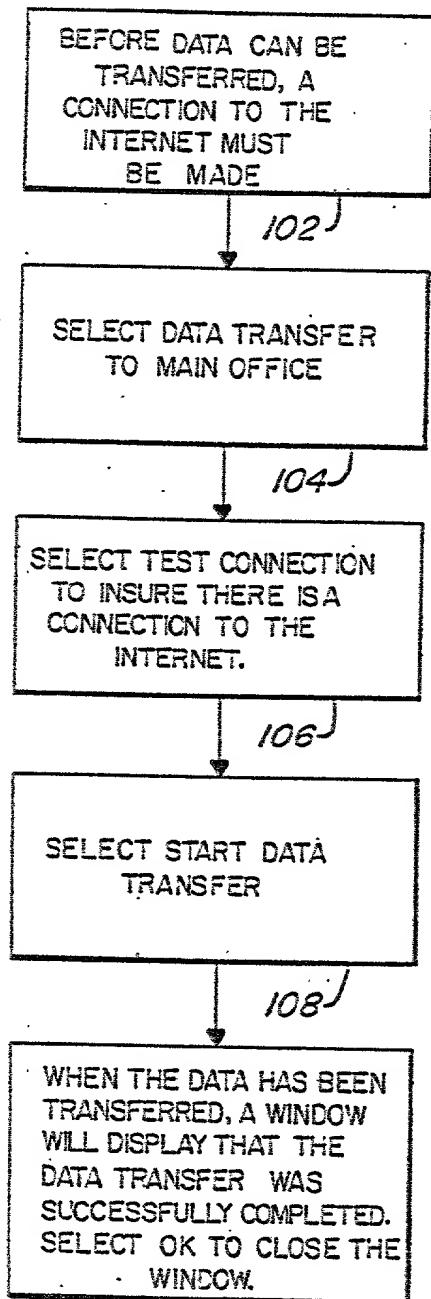


Fig. 5

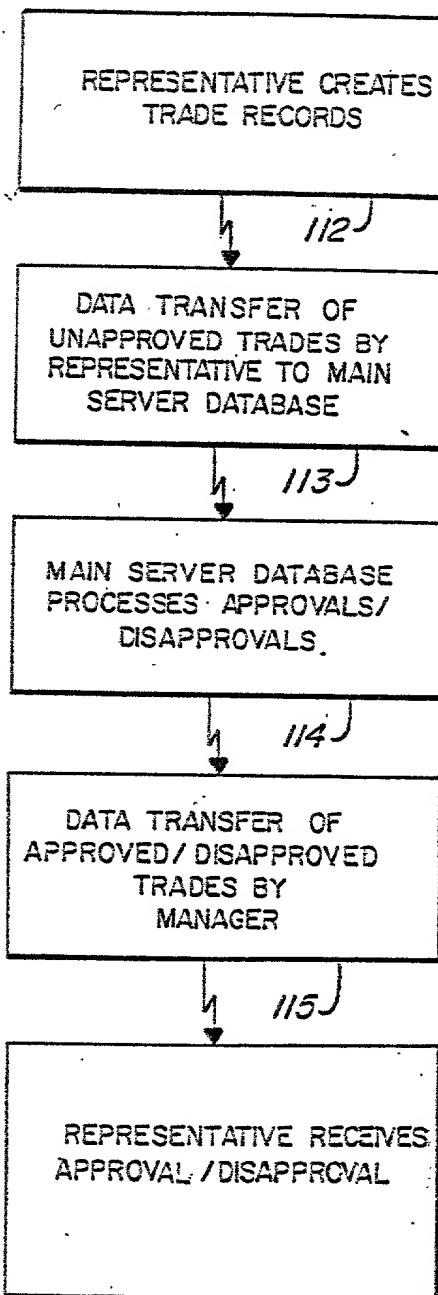


Fig. 6

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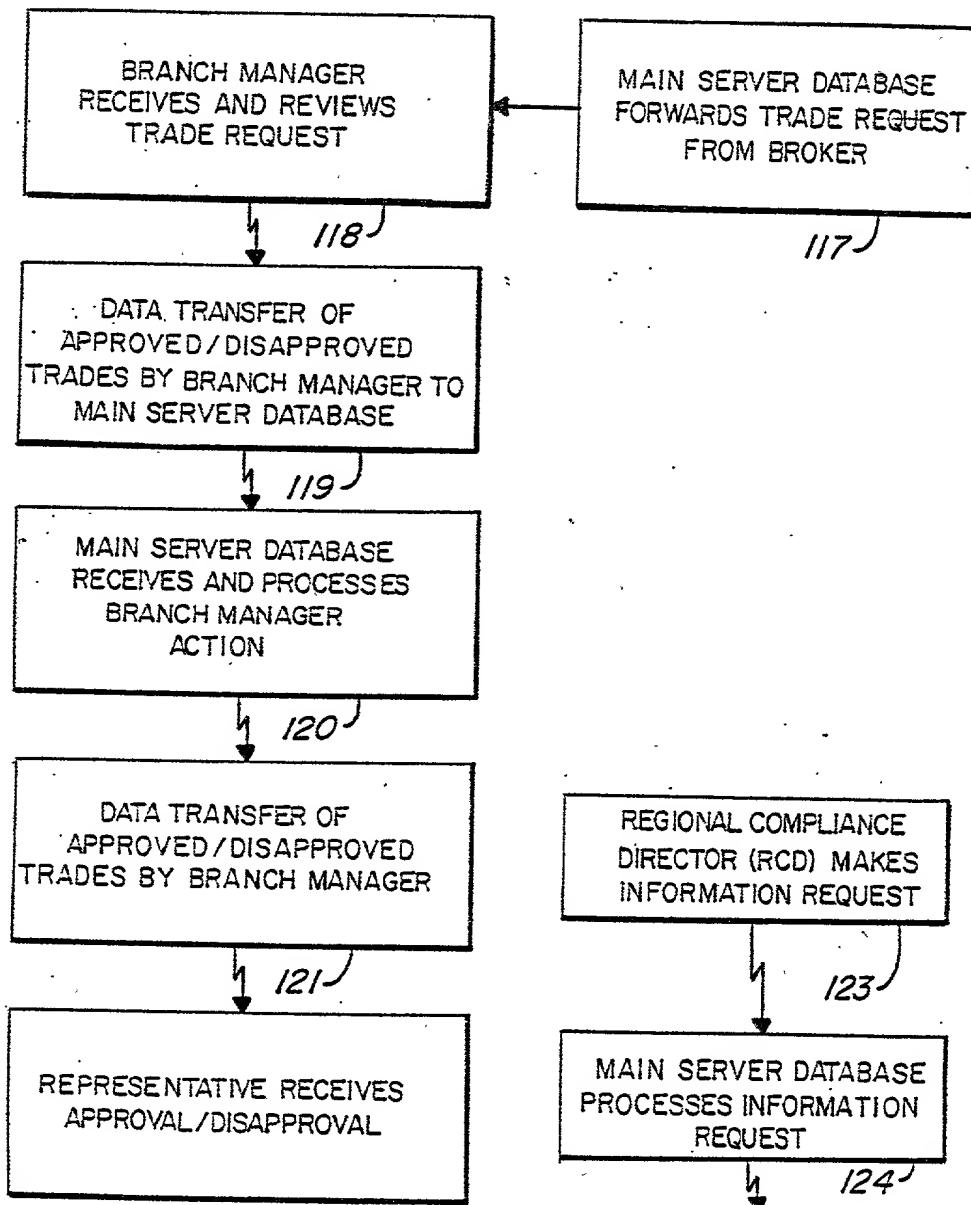


Fig-7

Fig-8

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System Information	
Company Name	ACME SUPPLY COMPANY
System ID	7500
License Number	110-105-6598
Maintenance Number	110-105-6598
Install Date	Friday, July 09, 1999, 3:45:11 PM
Expiration Date	Saturday, July 01, 2000, 12:00:00 AM
DEMS Type	LOCAL
Database Path	C:\BROKERBOOKS\DATA\
WEB Server IP Address	0.0.0.0
WEB Server Port	855
Branch No.	

FIGURE 9

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12.7

ClientInfo	TradeInfo	Stock & BondInfo	OtherInfo	TradeLog	TradeLog
System ID	7500	Record ID	13	06/09/1999 08:32 AM	12/16/1999 02:34 PM
Activity/Deadline					Record Last Updated
Rep Name	136	Curtis, James			
Client Name	124	Taylor, John			
Client Account Number		#2			
Brokerage Account					

FIGURE 10

94152

Trade #		Tradeline		Stock & Bond Info		Options Info		Futures Info		Forex Info		Cash Info		Margin Info		Bank Info		Bank Info	
Client	Info	Trade Category	Stocks & Bonds	Options	Stocks	Options	Options	Futures	Forex	Forex	Cash	Bank	Bank	Bank	Bank	Bank	Bank	Bank	
Trade Action	Buy	Trade Type	Sell	Buy	Sell	Buy	Sell	Buy	Sell	Buy	Buy	Sell	Sell	Buy	Sell	Buy	Sell	Buy	
Trade #	140	Product Name	Gold Models	Product Name		Product Name		Product Name		Product Name		Product Name		Product Name		Product Name		Product Name	
Qty Traded	142	Qty Traded	40,000	Qty Traded	Sheets	Qty Traded	80,000												
Time Received	06/01/1999 12:00 AM	Time Received	06/01/1999 12:00 AM	Time Received	06/01/1999 12:00 AM	Time Received	06/01/1999 12:00 AM	Time Received	06/01/1999 12:00 AM	Time Received	06/01/1999 12:00 AM	Time Received	06/01/1999 12:00 AM	Time Received	06/01/1999 12:00 AM	Time Received	06/01/1999 12:00 AM	Time Received	06/01/1999 12:00 AM
Order Flag	Wish	Order Flag	Susan	Order Flag	Barry	Order Flag	Barry	Order Flag	Barry	Order Flag	Barry	Order Flag	Barry	Order Flag	Barry	Order Flag	Barry	Order Flag	Barry
Check Amt.	490.00	Check Amt.	9876	Check Amt.	9876	Check Amt.	9876	Check Amt.	9876	Check Amt.	9876	Check Amt.	9876	Check Amt.	9876	Check Amt.	9876	Check Amt.	9876
Date Sent	06/01/1999	Date Sent	06/01/1999	Date Sent	06/01/1999	Date Sent	06/01/1999	Date Sent	06/01/1999	Date Sent	06/01/1999	Date Sent	06/01/1999	Date Sent	06/01/1999	Date Sent	06/01/1999	Date Sent	
CUSIP No	150	CUSIP No	150	CUSIP No	150	CUSIP No	150	CUSIP No	150	CUSIP No	150	CUSIP No	150	CUSIP No	150	CUSIP No	150	CUSIP No	150
Investment Objectives for this trade (Check all that apply)																			
<input type="checkbox"/>	Long Term Capital Appreciation																		
<input type="checkbox"/>	Aggressive Growth																		
<input type="checkbox"/>	Balance Growth with Income																		
<input type="checkbox"/>	Income																		
<input type="checkbox"/>	Safety																		
<input type="checkbox"/>	Speculative Gain Risk Nut/Risk % Acceptable																		
<input type="checkbox"/>	Other																		
Branch Alpha																			
Branch Beta																			
Branch Gamma																			
Branch Delta																			
Branch Epsilon																			
Branch Zeta																			

FIGURE 11

108652

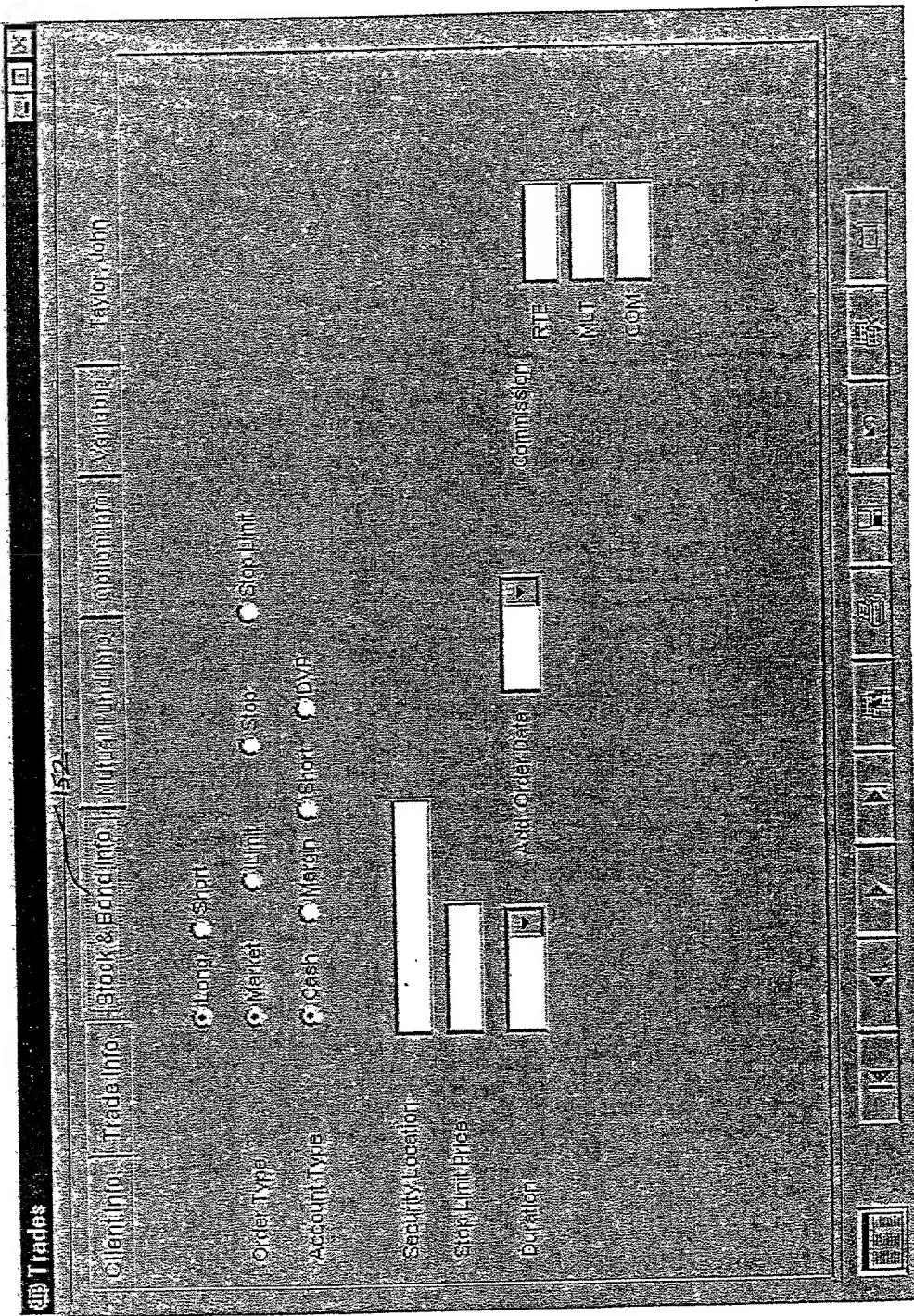


FIGURE 12

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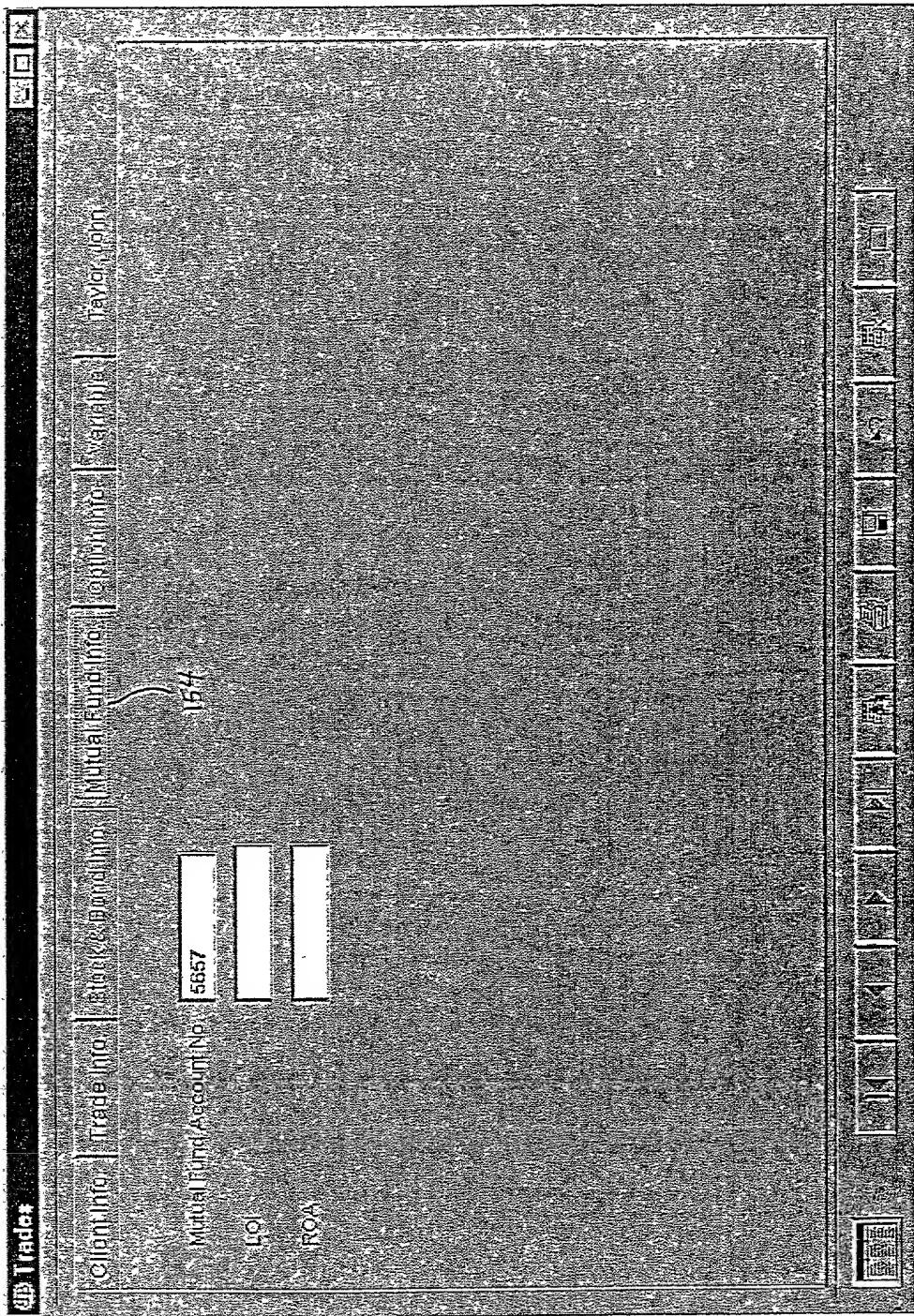


FIGURE 13

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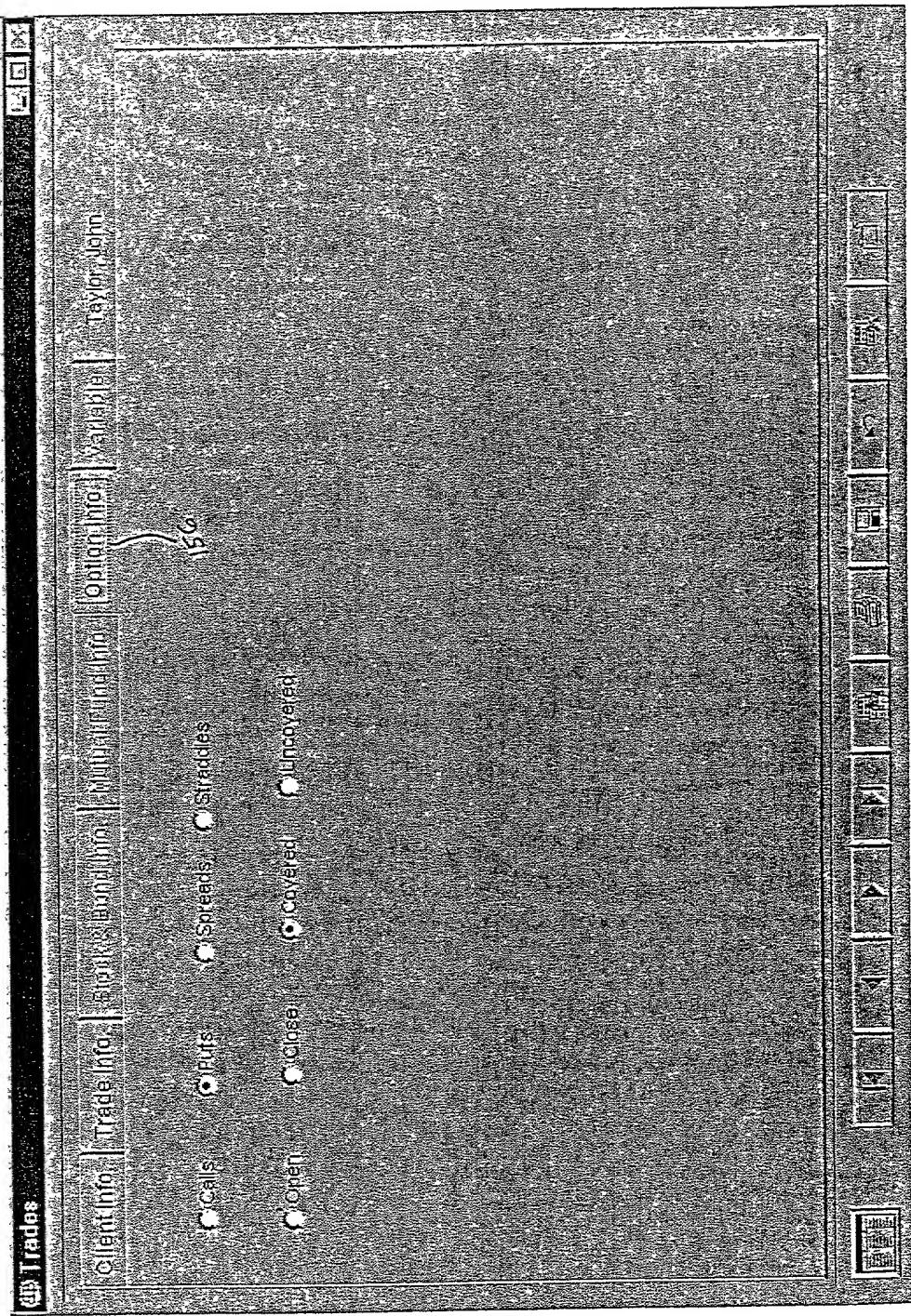


FIGURE 14

13 4452

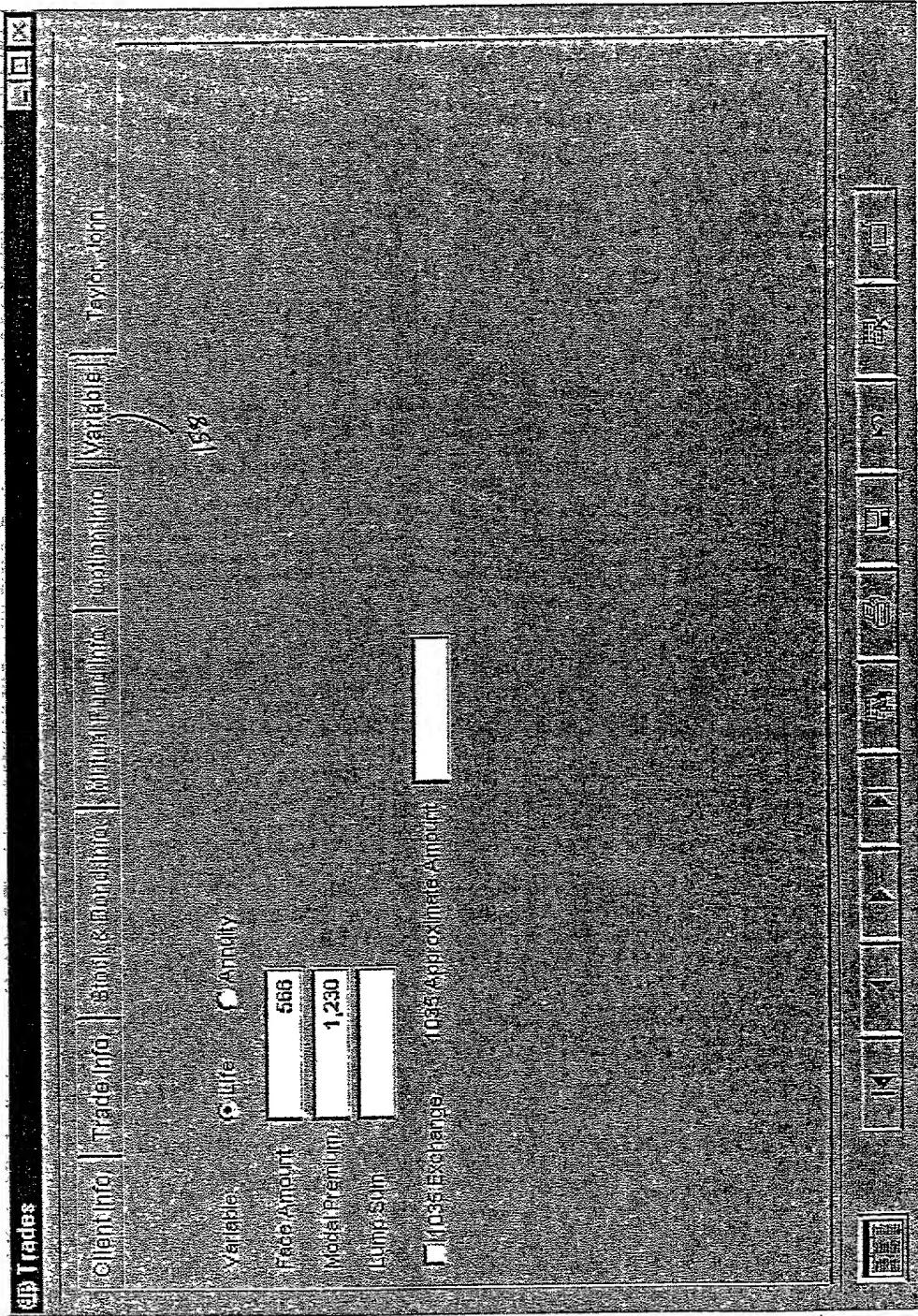


FIGURE 15...

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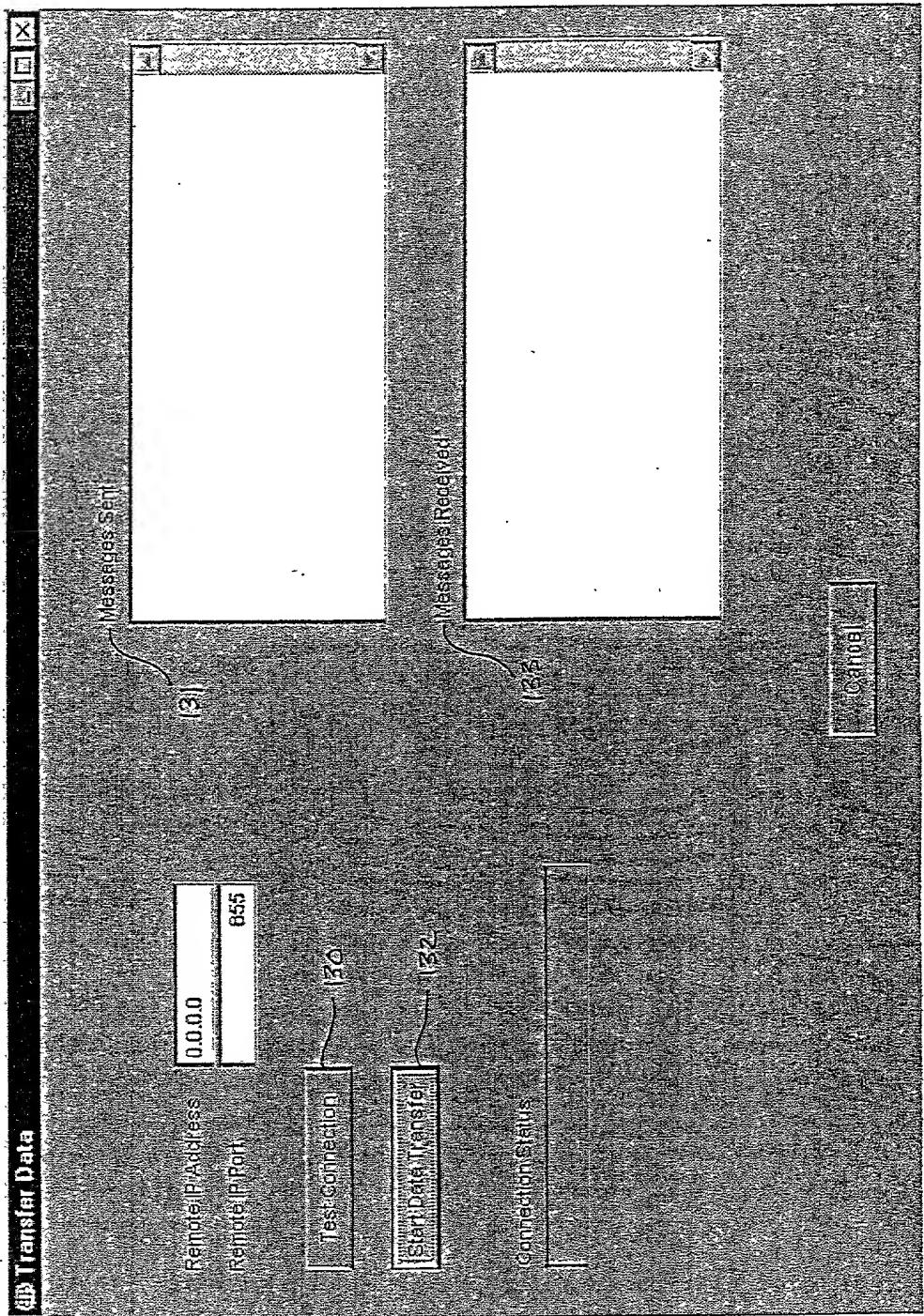


FIGURE 16.

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PICTURE 17

2/28/99 0948 A.M.

168 — Daily Trade Blotter

Date	Client Name	Account Number	Buy Sell	Qty Traded	Product	Plus	Exce Price	\$ Amt.	Rep No.	Initials
2/28/99	Braithwaite, Jane	#7	Buy	760000	Gold Metals		860.0000	0.0000	0.00	4000
2/28/99	Doe, John	#6	Buy	0.0000	Cheer Marketing		0.0000	0.0000	0.00	2000
2/28/99	Taylor, John	#1	Sell	0.0000	NaM Grand Total		0.0000	0.0000	0.00	3000
2/28/99	Taylor, John	#2	Buy	0.0000	Delux Travel Systems		0.0000	0.0000	0.0000	4000
2/28/99	Taylor, John	#2	Buy	0.0000	Cheer Marketing		0.0000	0.0000	0.00	4000
2/28/99	Doe, John	#6	Buy	0.0000	Delux Travel Systems		0.0000	0.0000	0.0000	4000
2/28/99	Taylor, John	#2	Buy	60.0000	Delux Travel Systems		0.0000	0.0000	0.0000	4000
2/28/99	Braithwaite, Jane	#7	Buy	6.0000	NaM Grand Total		12.0000	0.0000	0.00	3000
2/28/99	Braithwaite, Jane	#7	Buy	6.0000	NaM Grand Total		40.0000	0.0000	0.0000	4000
2/28/99	Taylor, John	#2	Sell	0.0000	Gold Metals		80.0000	0.0000	0.0000	4000
2/28/99	Braithwaite, Jane	#7	Buy	0.0000	Cheer Marketing		0.0000	0.0000	0.0000	4000

FIGURE 18

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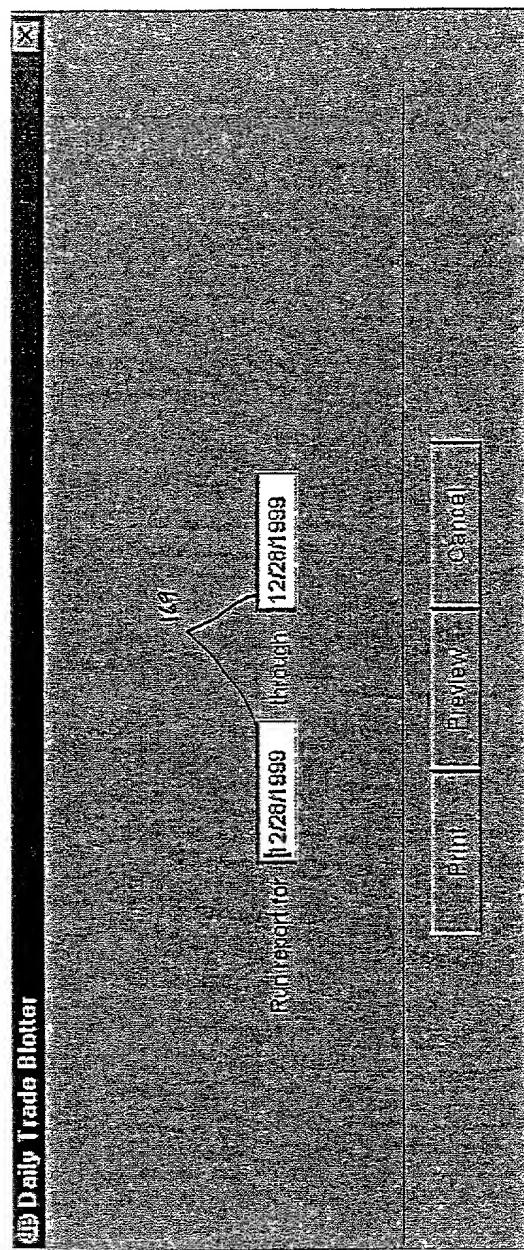


FIGURE 19

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170 → Checks/Securities Received Blotter

08/03/1999 08:49 AM

Chk Rec'd At	Name	Description	Check No.	/ CUSIP No.	Qty	Sent To	Date Sent	Rep No.	Initials
08/02/1999	Taylor, John	Deluxe Travel Systems	2346	/	0.0000	John Doe	08/03/1999	4000	
08/01/1999	Burnell, Jane	MGM Grand Hotel	6057	14718	0.0000	Mary Scott	08/02/1999	4000	
08/01/1999	Doe, John	Deluxe Travel Systems	6057	/	0.0000	Brokers Ltd.	08/02/1999	4000	
08/02/1999	Taylor, John	Gold Metals	6010	/	40.0000	Acme	08/01/1999	4000	

FIGURE 20

2/03/1999 09:51 AM

172 → BUY & SELL TICKET

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Buy/Sell Buy	Short/Long Long	Day/Open/Market Market	Activity date 05/03/1999 09:51 AM	Settlement date 11
Quantity 750.0000	Symbol GMB	Limit amount 0.00	Execute price 0.0000	Security location
Securities Description Gold Models				
Client name Smith, Jane				Account # 77
Payment type Cash				
Rep # 4000	Brokeracct			Solicited Unsolicited
Time Received from client 04/29/1999 09:00 AM	Time phoned			04/30/1999 12:00 AM
Order Placed with Jane	by May			
Commission RTE 0.00	MLT 0.00	COM 0.00		

Options

Calls/Puts/Spreads/Straddles	Calls
Open/Close/Covered/Uncovered	Open

Mutual Funds

Acct# 5634	LCI	0	RCA	0
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FIGURE 21

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Client Activity Log

03/03/1999 10:04 AM

17

Name Doe, John		Company Name				
Address 25773 Mulberry Lane		Joint Account Name Pye, Glenda				
Walnut Grove, IL 47738						
Home Phone 314-388-3773		Business Phone				
Product	Account Type	Date	Bought City	Price	Sold City	Price
Caesar Marketing	Trust	03/03/1999				
Deutsche Travel Systems	Trust	03/02/1999				

FIGURE 22

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05/03/1999 10:08 AM
176

Security Activity Log

Client Name	Qty Traded	Activity Date	Price
Taylor, John	40.0000	05/03/1999 08:32 AM	80.0000
Smith, Jane	750.0000	05/03/1999 09:31 AM	860.0000

FIGURE 23

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FIGURE 24.

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Representative Profile	
Rep ID	4000
Last Name	Curtis
Address 1	91 Dogwood Drive
Address 2	
Address 3	
City	Leadville
Country	CO
Work Phone	303-958-2219
EMail Address	scurlis@aoi.com
Office Name	Pine Branch
Branch Office	
OS Office	700
For additional license information	
<input checked="" type="checkbox"/> Series B	Series 63
<input type="checkbox"/> Series 7	Series 65
<input type="checkbox"/> Series 24	Insurance
<input type="checkbox"/> Series 26	

FIGURE 25

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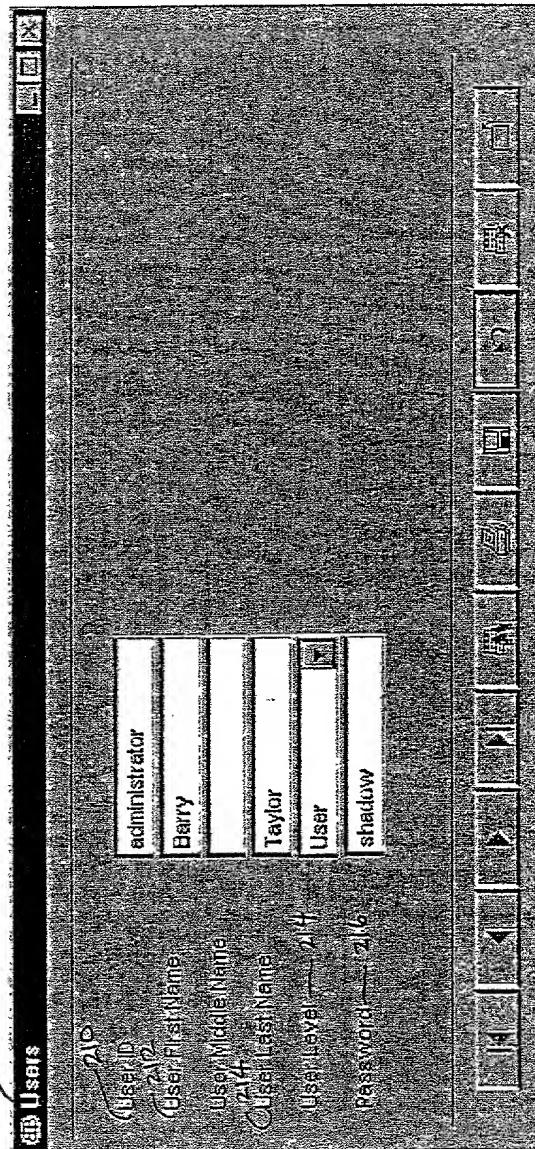


FIGURE 26

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BrokerBooks Trade Audit Report

System ID.	Record ID.	User ID.	Password	Change Date/Time
1000	1	JohnB	Books	06/16/1999 12:01:49

Changes:

Old: Product Name: Best Funds
New: Product Name: Enterprise Funds

System ID.	Record ID.	User ID.	Password	Change Date/Time
1000	1	JohnB	Books	06/17/1999 11:41:35

Changes:

Old: Share/NAV Price: \$ 100.00
New: Share/NAV Price: \$ 110.00

System ID.	Record ID.	User ID.	Password	Change Date/Time
2430	13843	JackCL	PASS	06/16/1999 12:01:49

Changes:

Old: Qty. Traded: 150
New: Qty. Traded: 250

System ID.	Record ID.	User ID.	Password	Change Date/Time
45330	84453	10256	ABCDEFGHI	06/16/1999 2:10:33

Changes:

Old: Stop Limit Price: 130
New: Stop Limit Price: 165

FIGURE 27

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Audit Report	
Rep Name	Smith, Kyle
Run Report To	12/28/1999
Through	12/29/1999
Specific Branch	001
Print	Preview
Change	

FIGURE 28

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212 → LOGIN REPORT

LOGINTIME	SYSTEM ID	USER ID	PASSWORD	SUCCESS
05/03/1999 09:28:00	1000	administrator	password	Yes
05/03/1999 09:43:36	1003	administrator	shadow	Yes
05/03/1999 09:44:54	1002	administrator	password	No
05/03/1999 09:46:46	1002	administrator	hazel	Yes
05/03/1999 09:46:53	1002	administrator	password	Yes
05/03/1999 09:48:34	1001	administrator	gocart	No
05/03/1999 09:49:44	1001	administrator	holly	Yes
05/03/1999 09:50:15	1003	administrator	shadow	No
05/03/1999 09:50:52	1000	administrator	password	Yes
05/03/1999 09:51:48	1002	administrator	password	Yes
05/03/1999 10:00:32	1000	administrator	houston	Yes
05/03/1999 10:36:37	1000	administrator	password	Yes
05/03/1999 10:37:03	1000	administrator	password	Yes
05/03/1999 10:39:00	1000	administrator	password	No
05/03/1999 10:39:16	1000	administrator	houseton	Yes
05/03/1999 10:55:07	1000	administrator	houston	Yes
05/03/1999 10:55:20	1000	administrator	password	Yes
05/03/1999 10:55:47	1000	administrator	orange	Yes
05/03/1999 10:56:06	1000	administrator	password	Yes
05/03/1999 10:56:40	1000	administrator	password	No
05/03/1999 10:56:55	1000	administrator	password	Yes
05/03/1999 11:07:44	1001	administrator	holly	Yes
05/03/1999 11:08:05	1001	administrator	password	Yes
05/03/1999 11:12:47	1001	administrator	notebook	No
05/03/1999 11:14:43	1002	administrator	password	Yes
05/03/1999 11:15:15	1002	administrator	password	No
05/03/1999 11:15:54	1000	administrator	password	Yes
05/03/1999 11:19:05	1001	administrator	notebook	No
05/03/1999 11:19:23	1001	administrator	notebook	Yes
05/03/1999 11:20:14	1001	administrator	password	Yes
06/15/1999 09:25:22	1841	administrator	password	No
06/15/1999 09:26:38	1841	administrator	shopping	Yes
06/15/1999 09:29:30	1841	administrator	password	No
06/15/1999 09:55:04	1841	administrator	mountains	Yes
06/15/1999 10:07:59	1841	administrator	password	No
06/15/1999 10:45:09	1000	manager1	password	No
06/15/1999 11:05:44	1000	manager1	password	Yes

FIGURE 29

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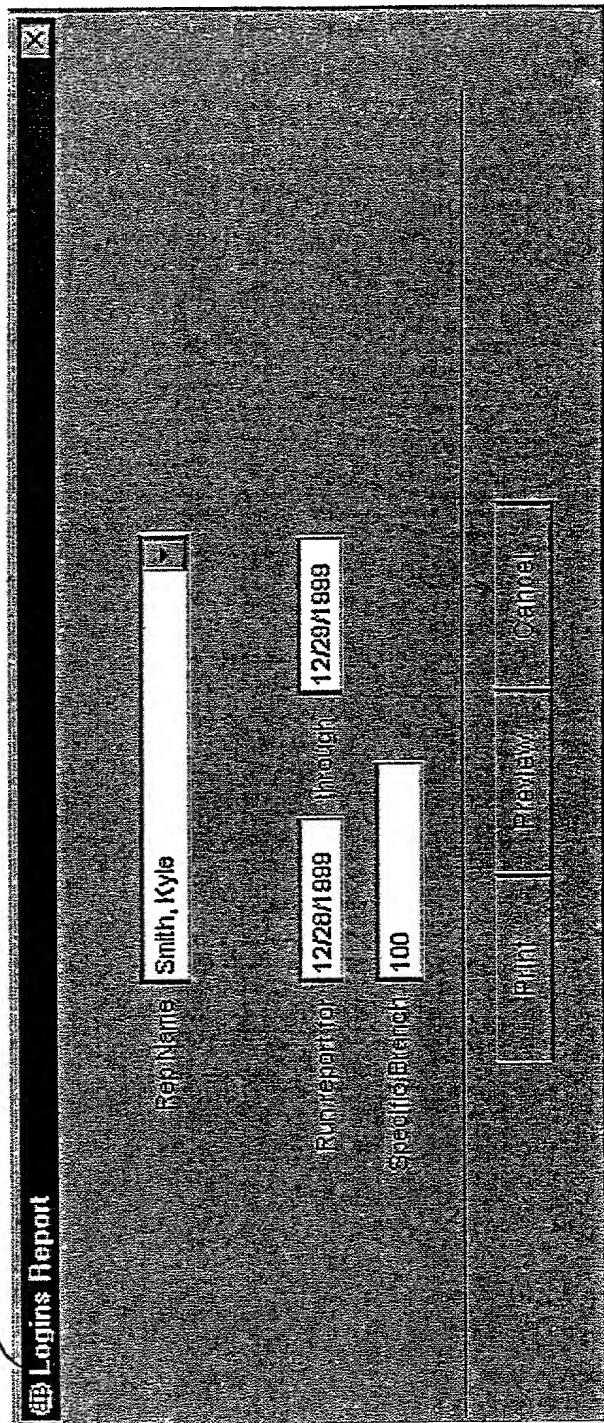


FIGURE 30

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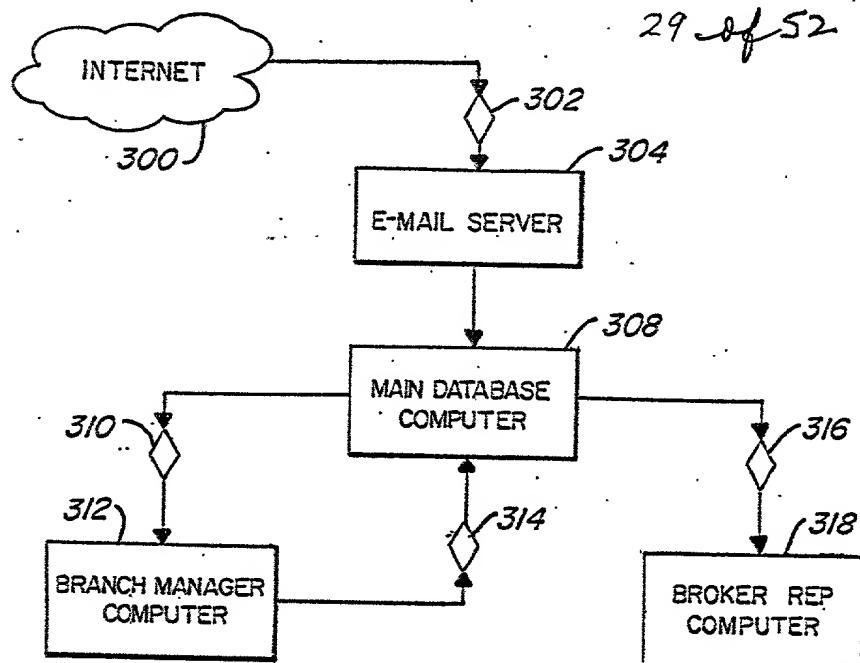


Fig-31

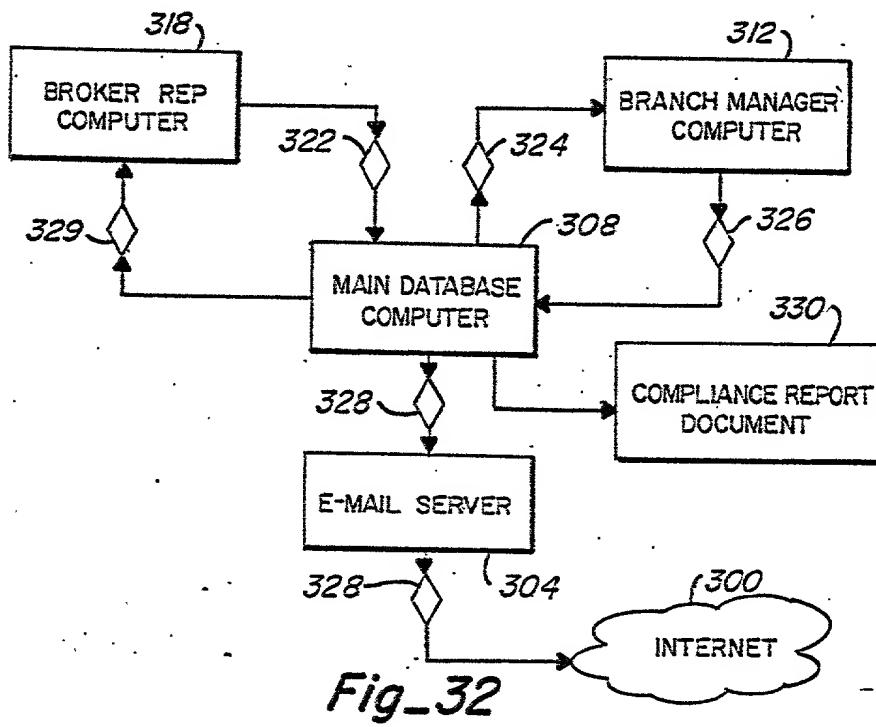


Fig-32

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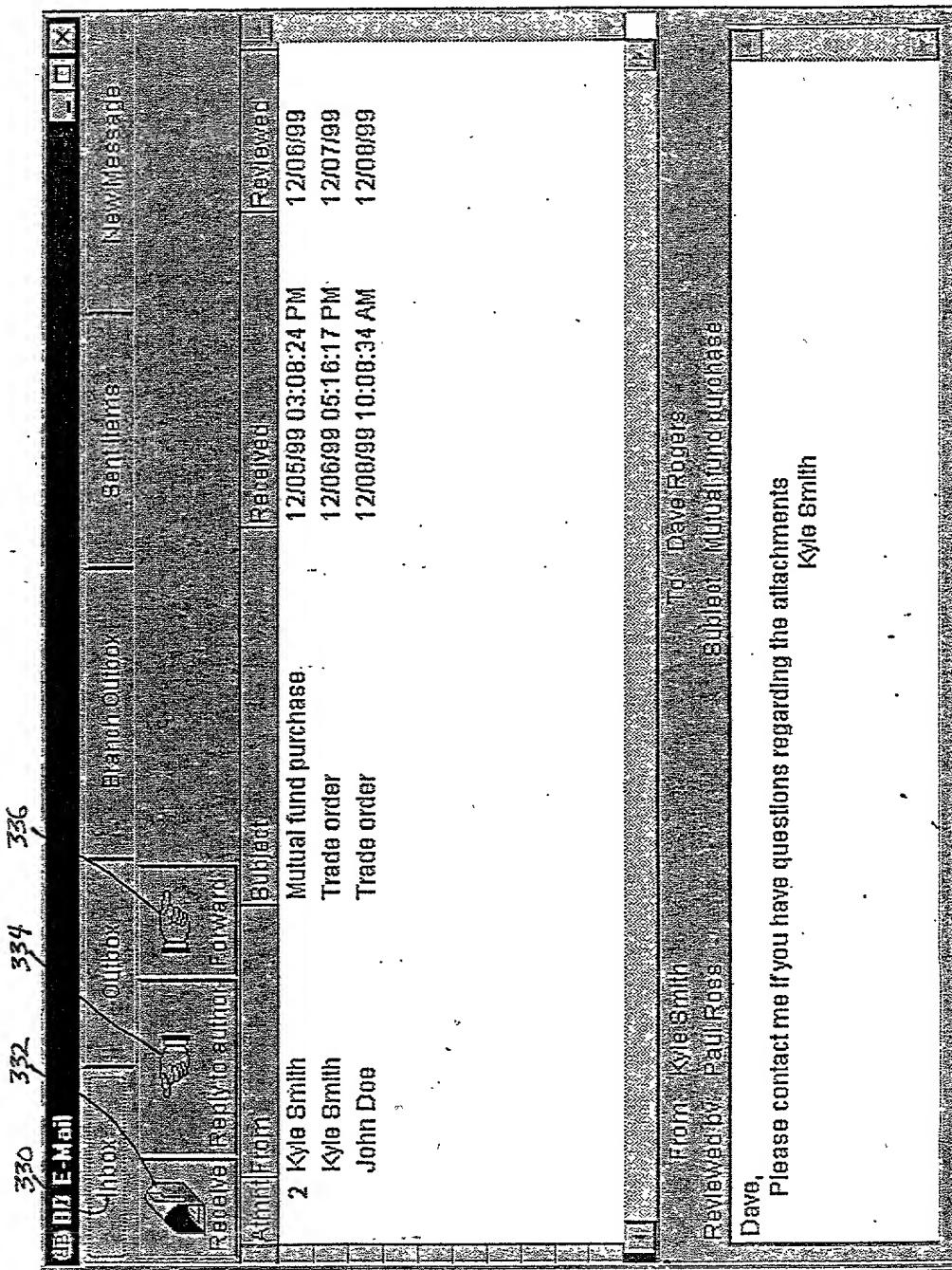


FIGURE 33

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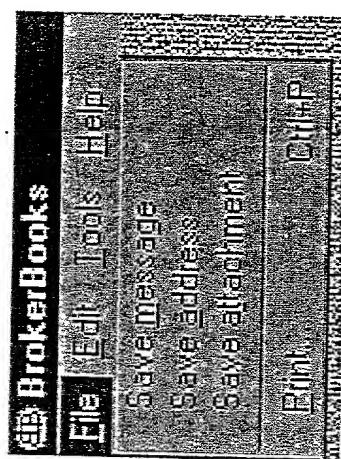


FIGURE 34

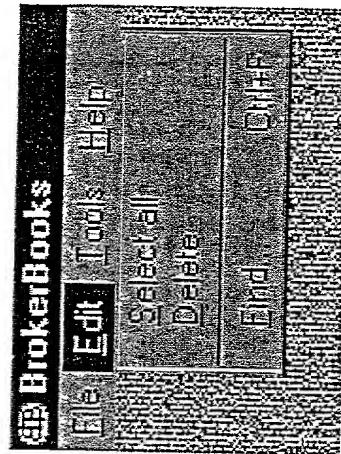


FIGURE 35

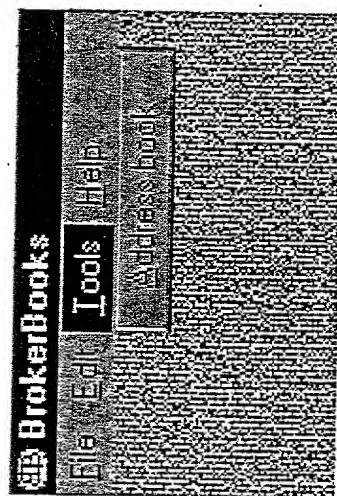


FIGURE 36

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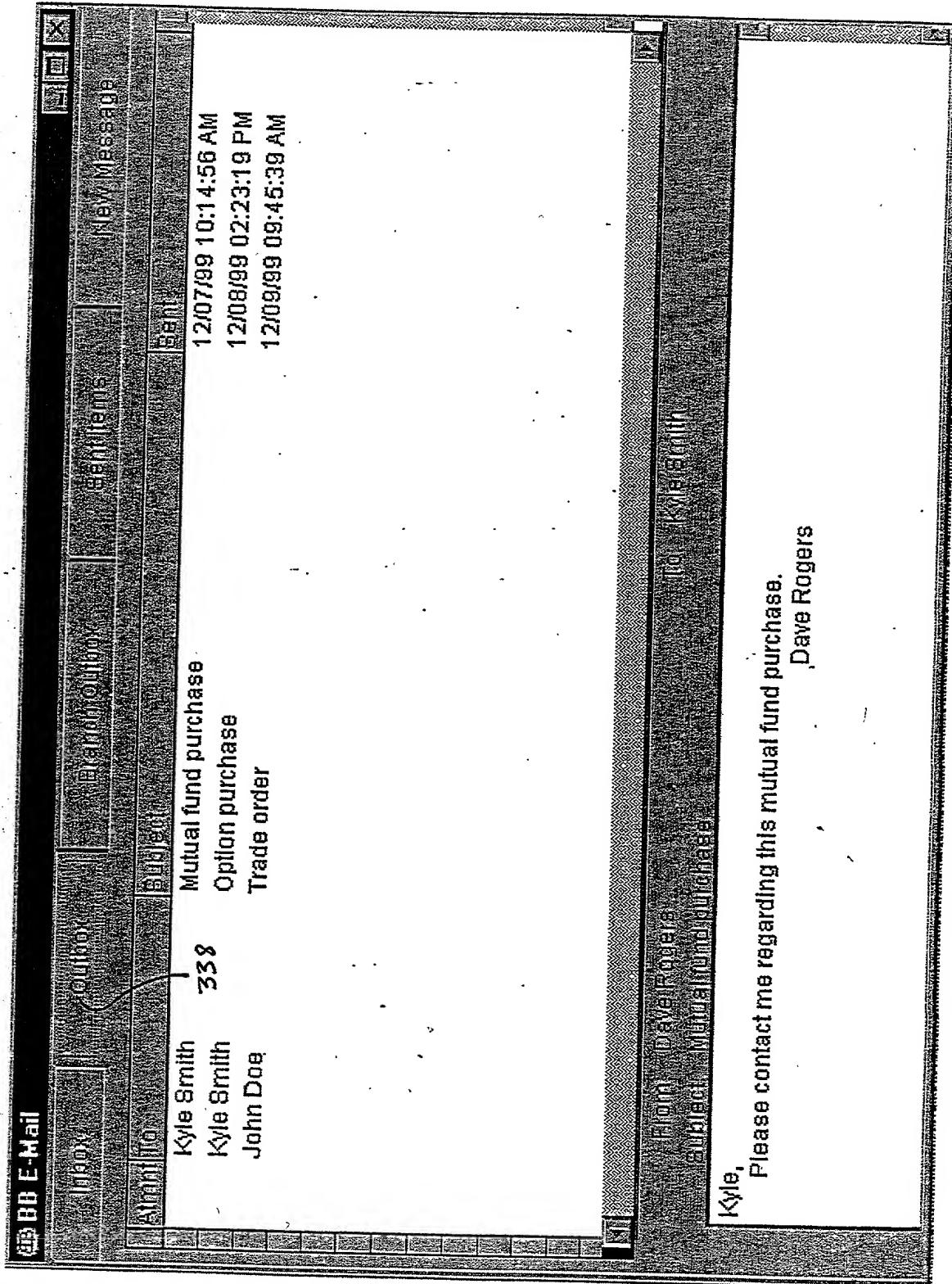


FIGURE 37

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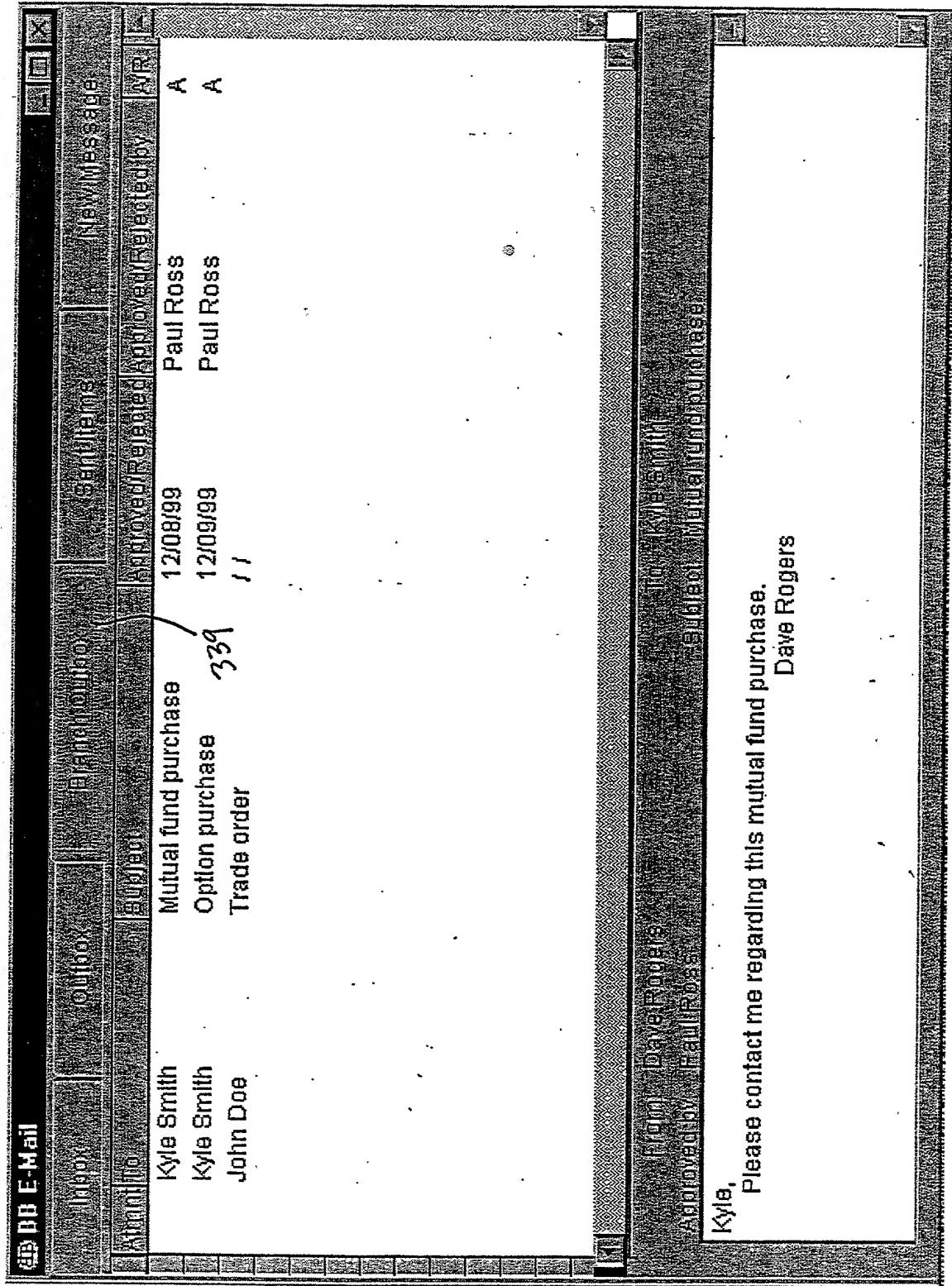


FIGURE 38

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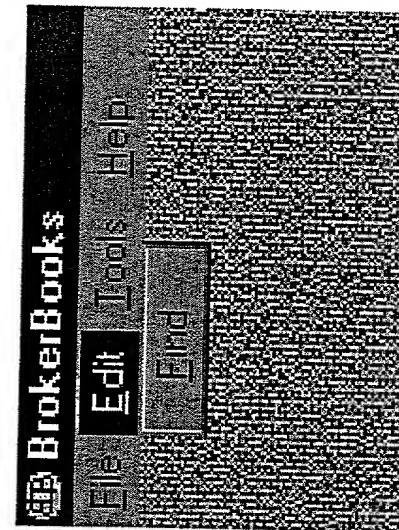


FIGURE 40

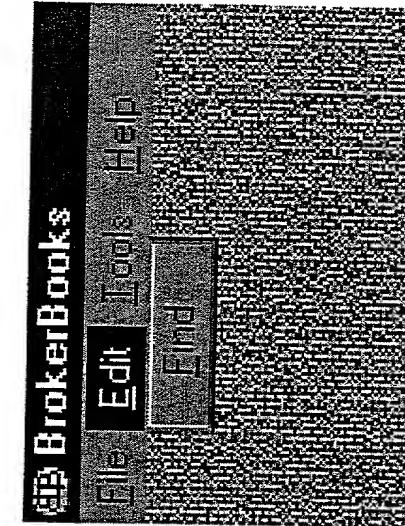


FIGURE 43

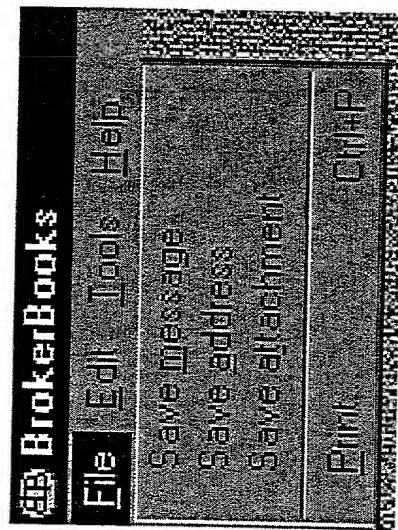


FIGURE 39

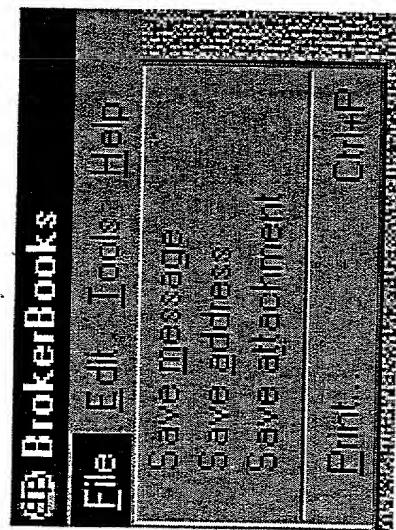


FIGURE 42

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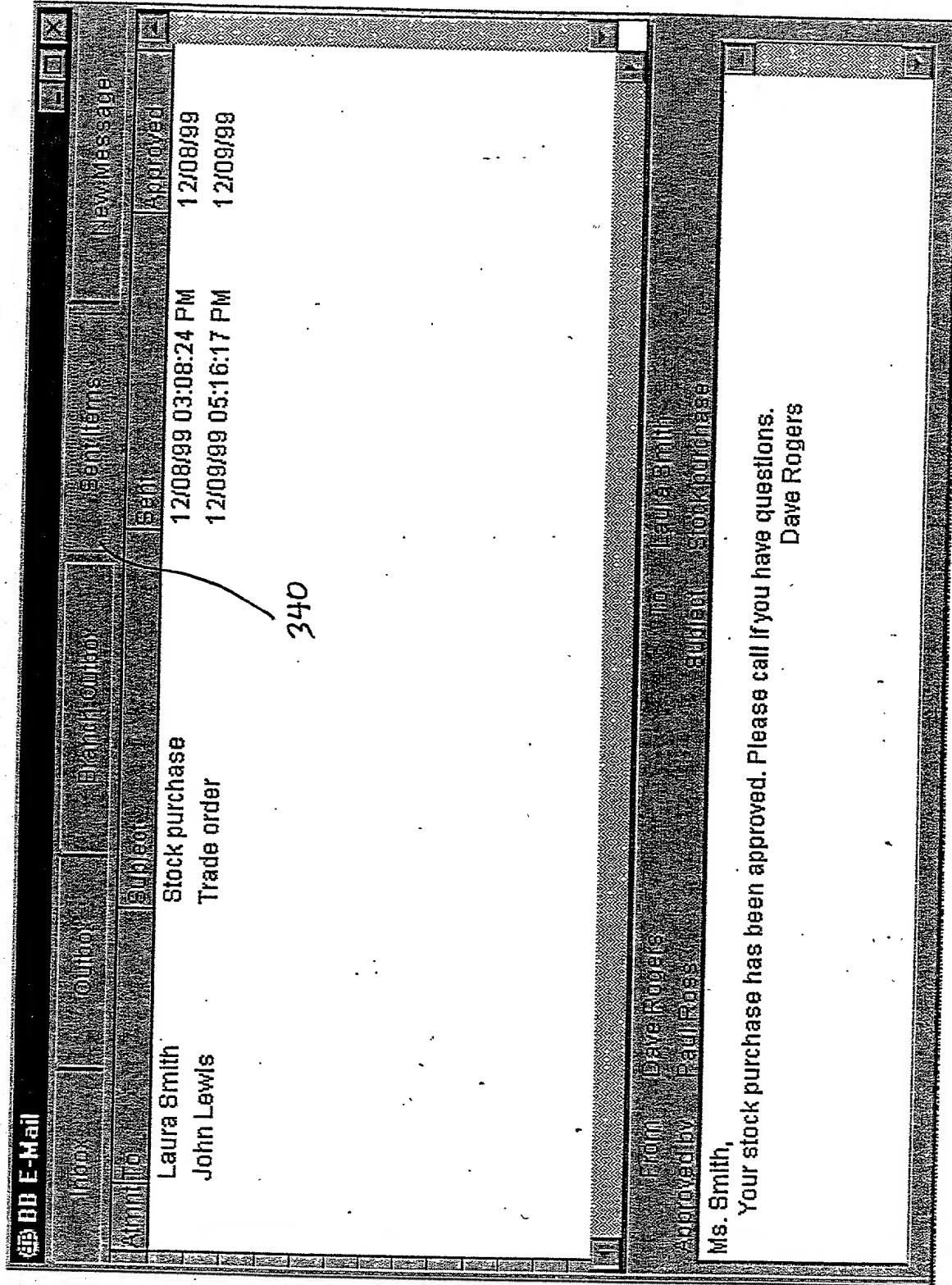


FIGURE 41

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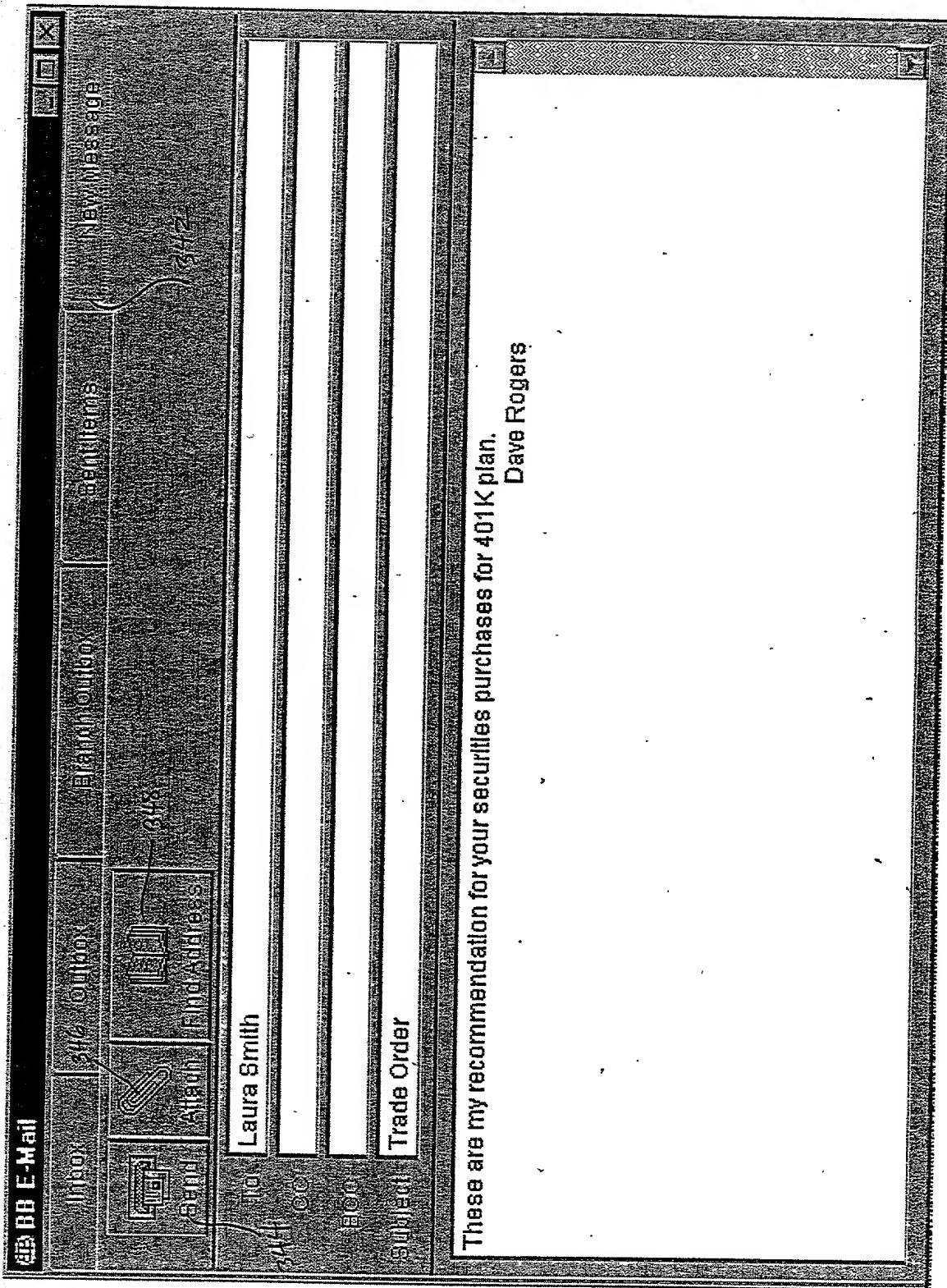
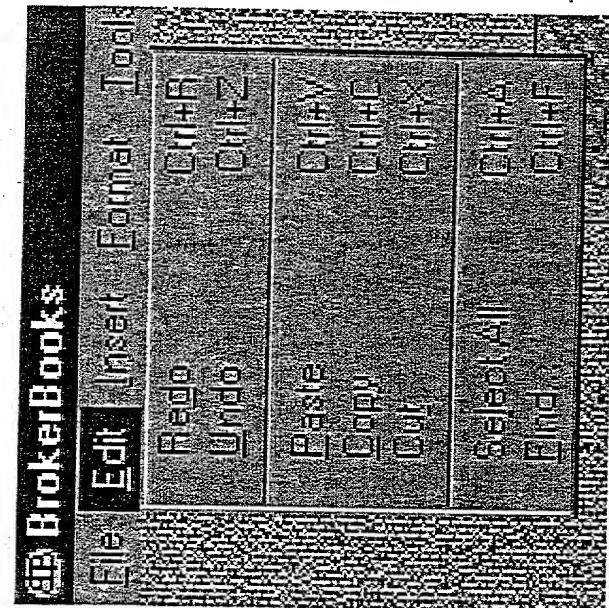


FIGURE 44

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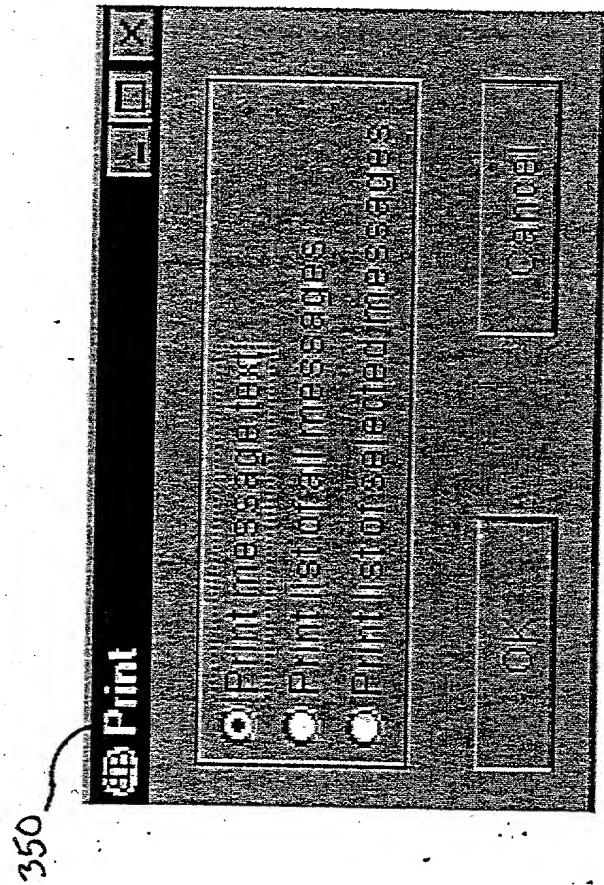


FIGURE 48

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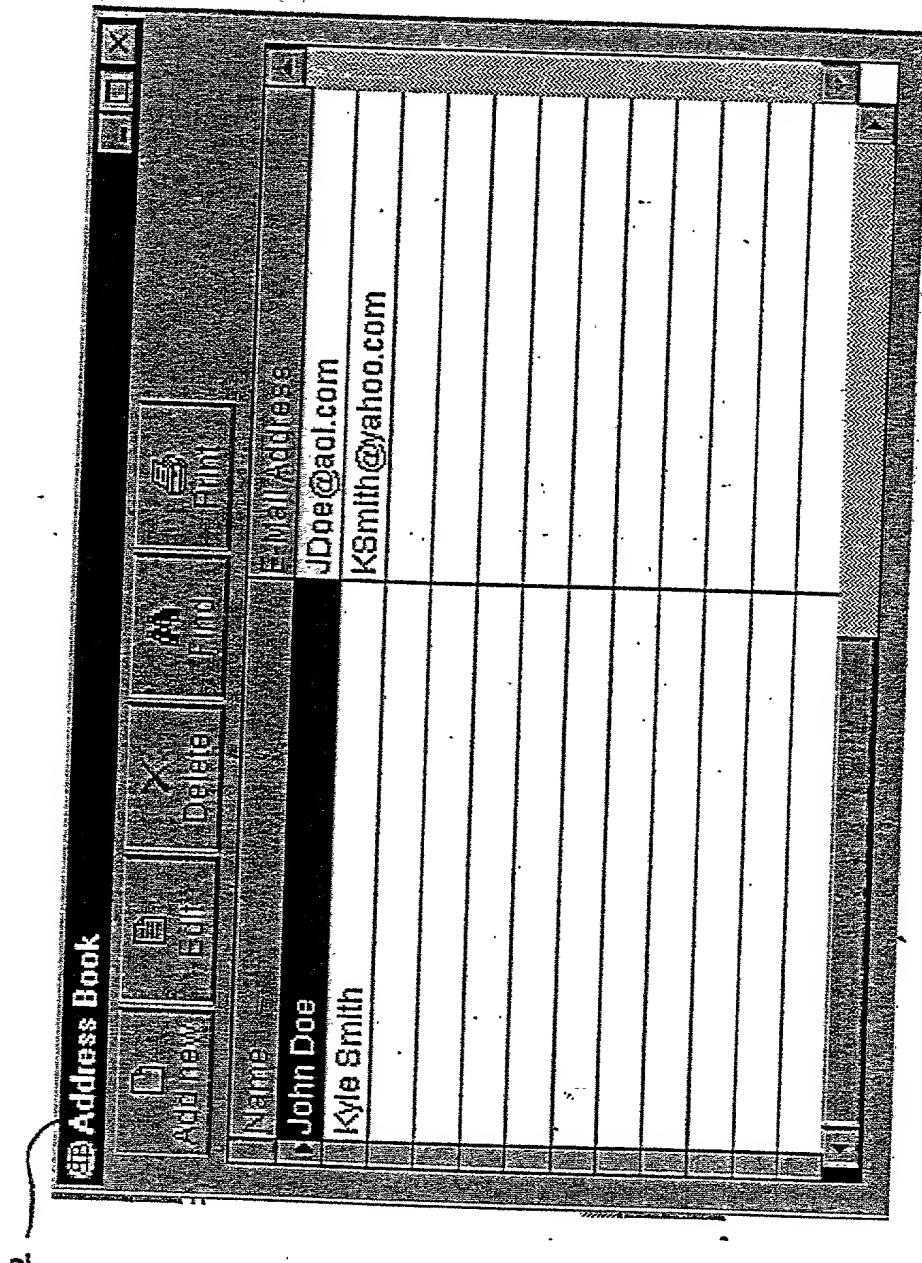


FIGURE 49

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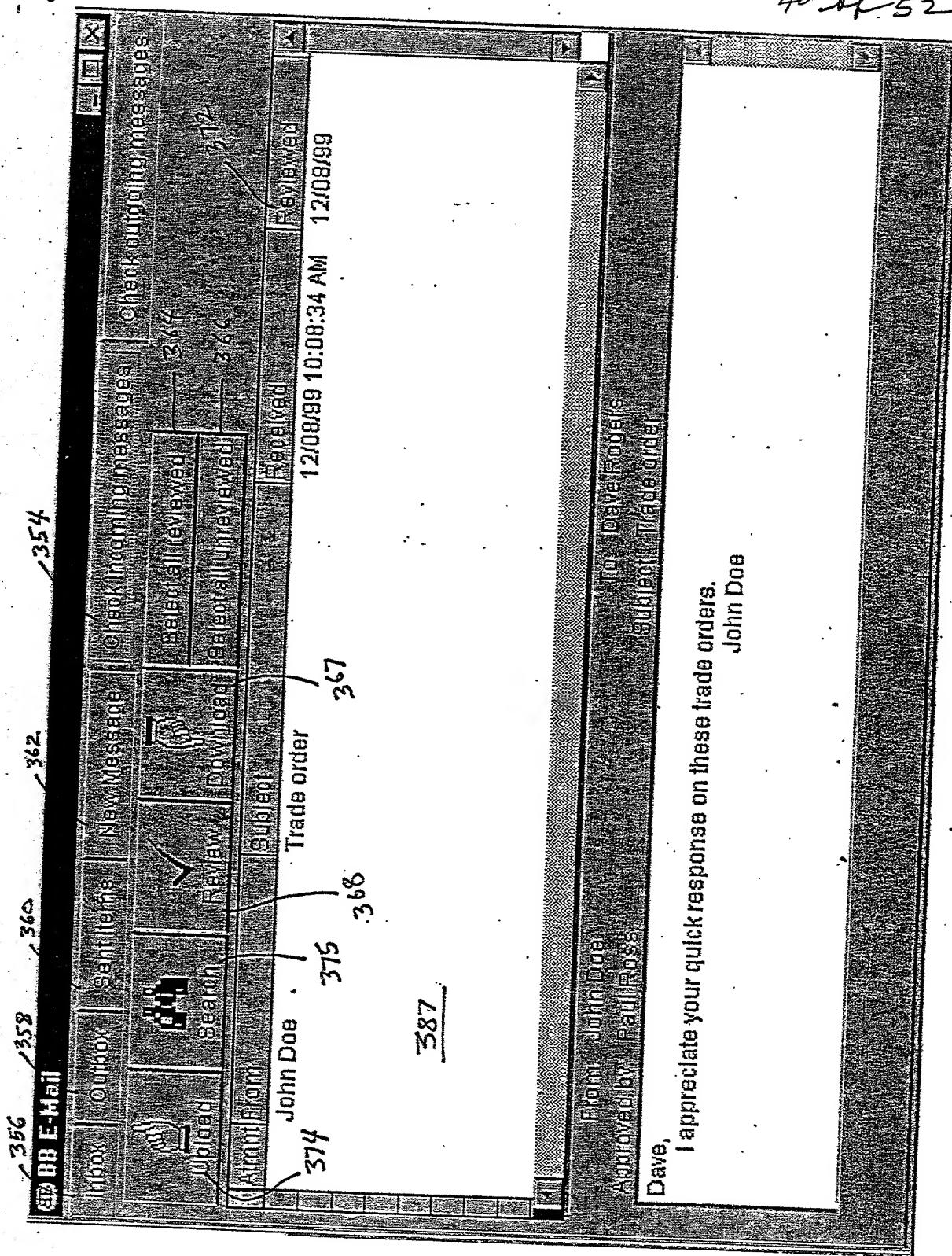


FIGURE 50

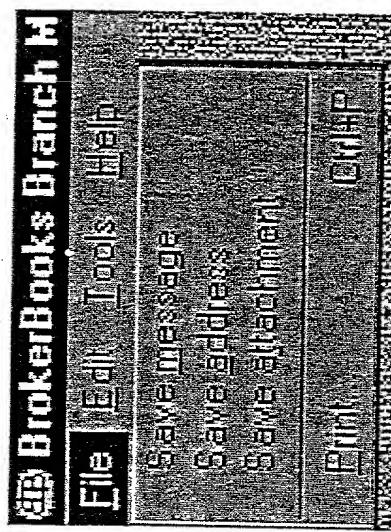


FIGURE 51

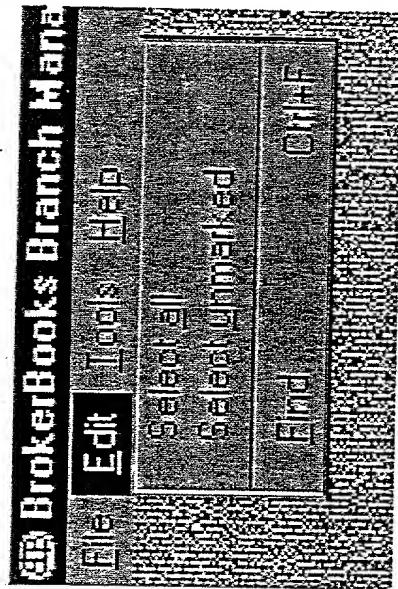


FIGURE 52



FIGURE 53

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Searched words

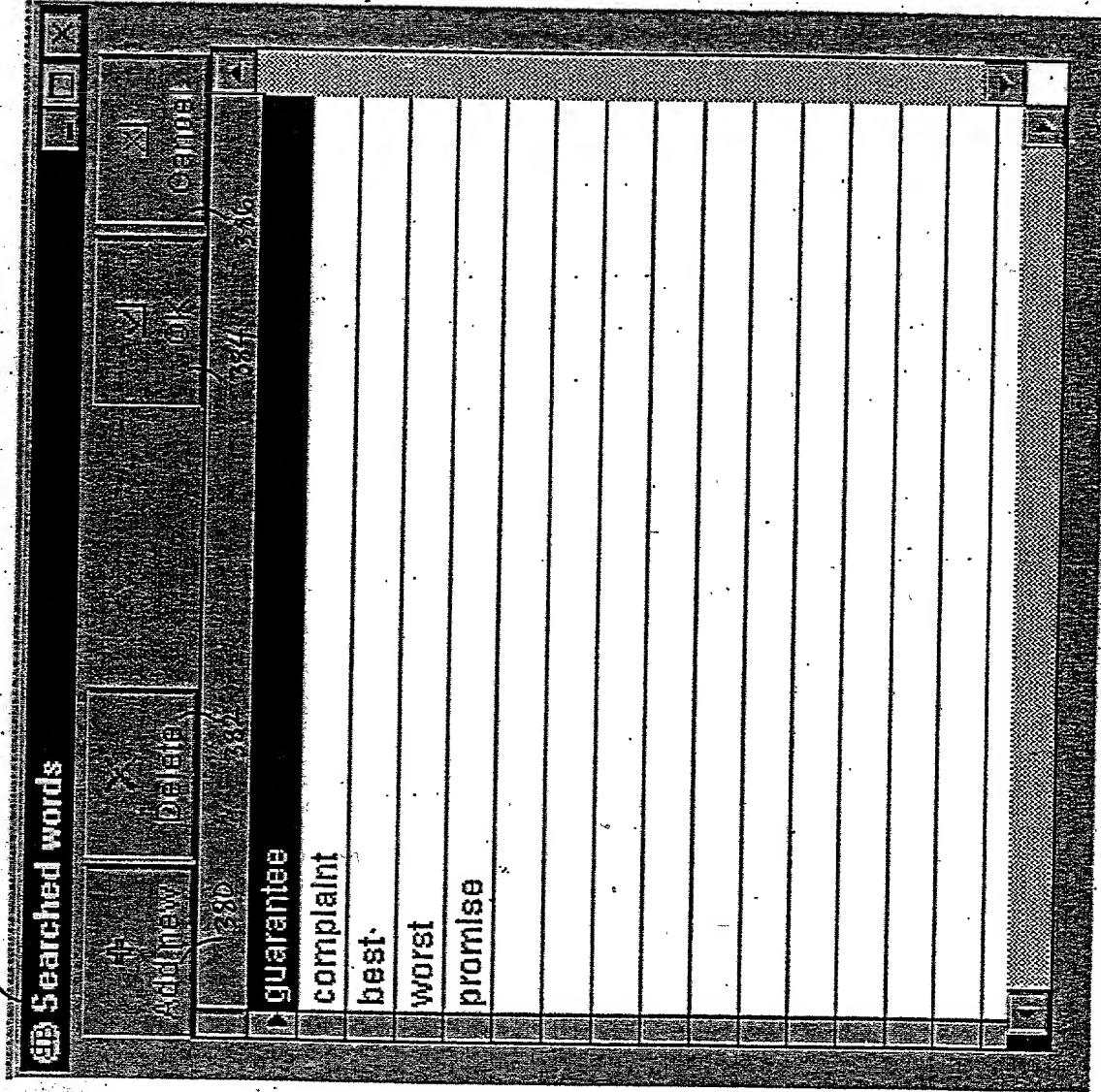


FIGURE 54

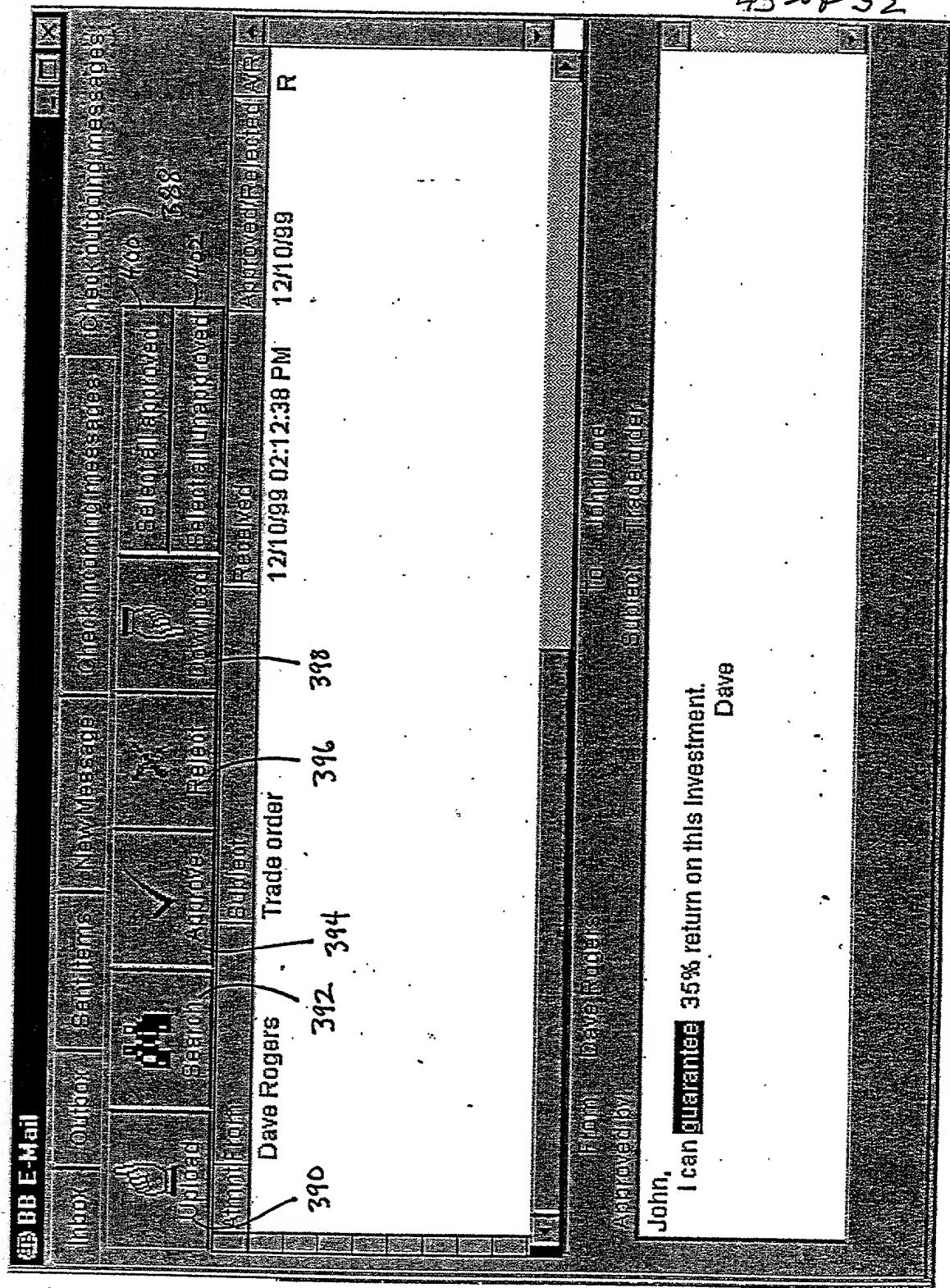


FIGURE 55

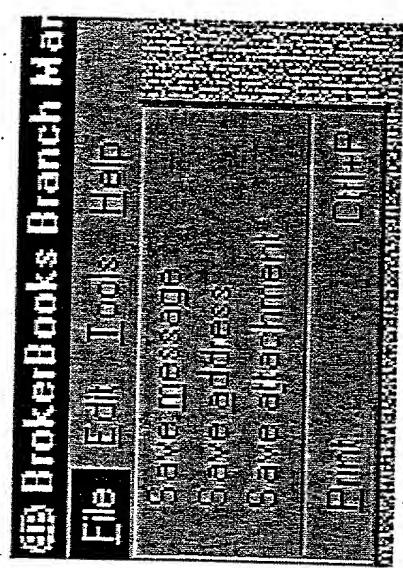


FIGURE 56

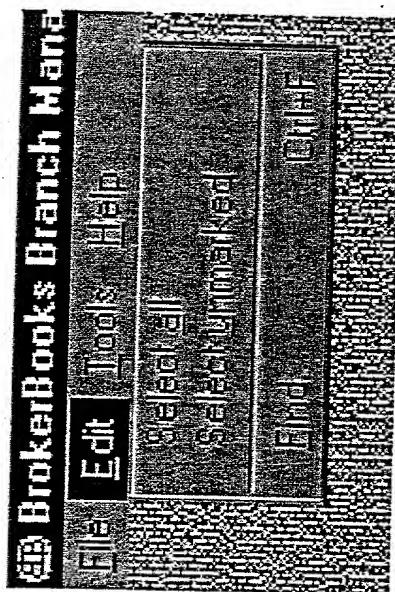


FIGURE 57

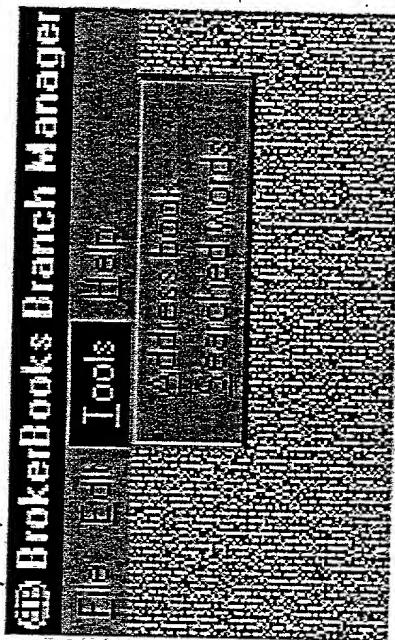


FIGURE 58

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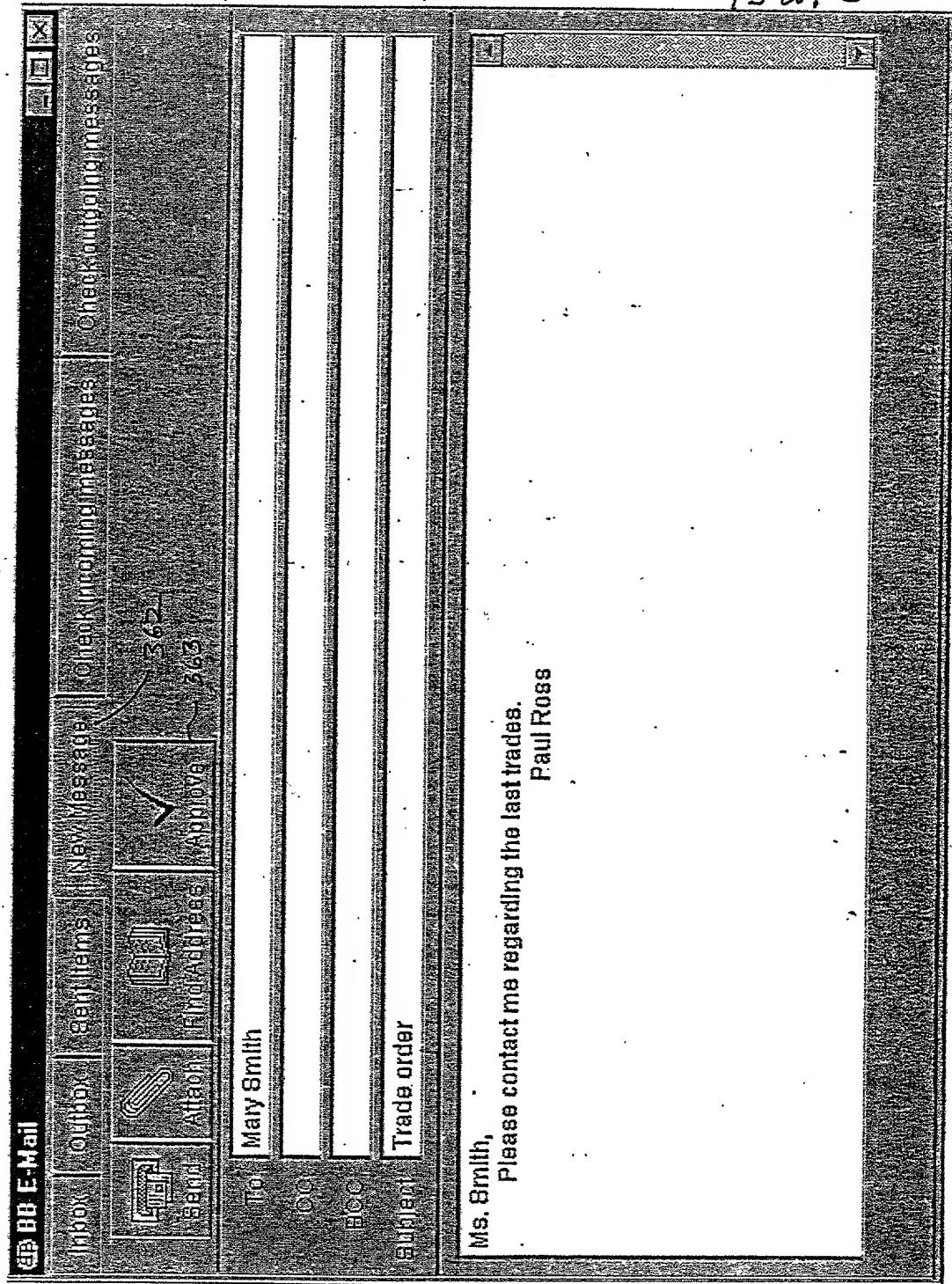


FIGURE 59

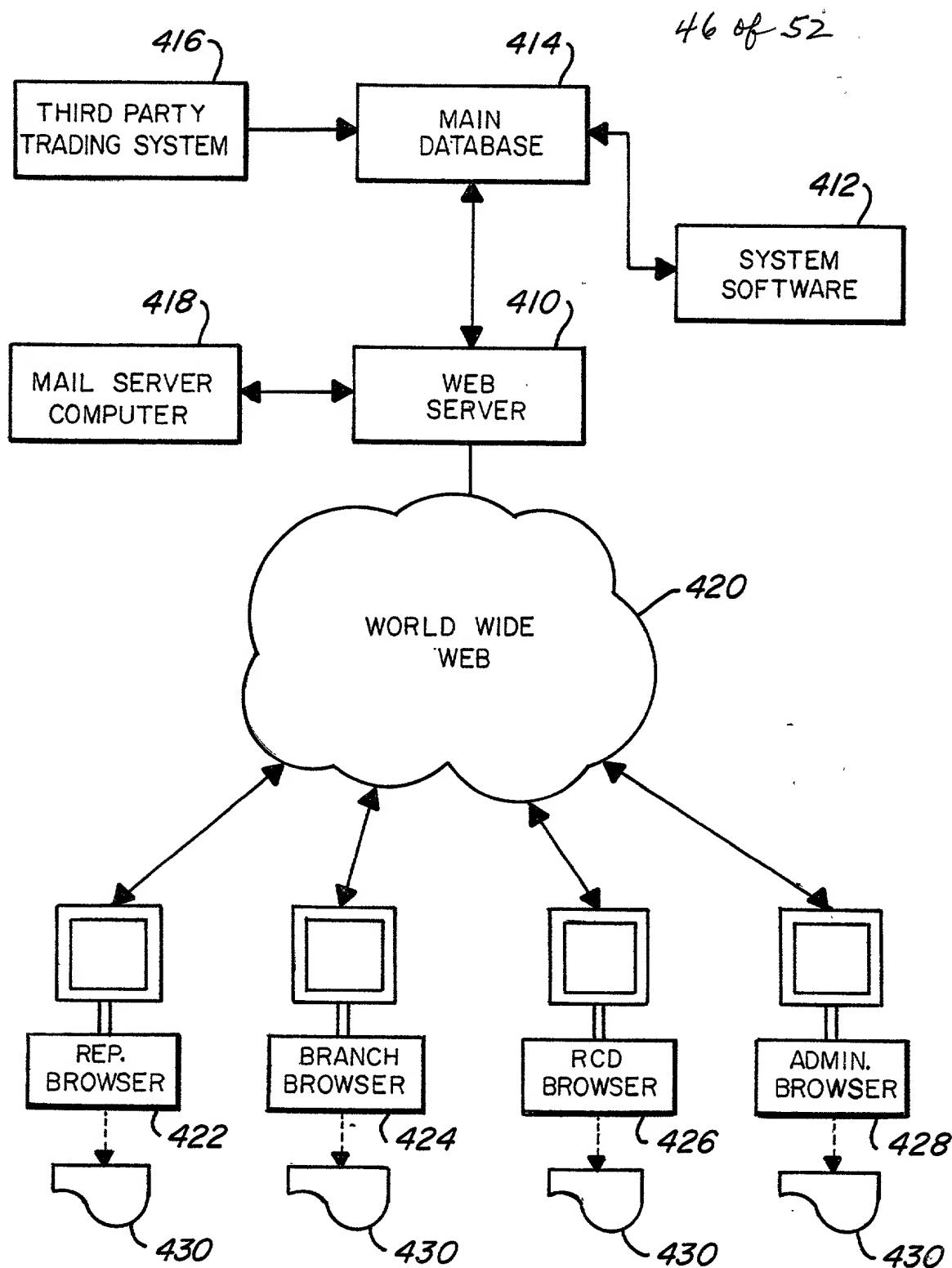


Fig-60

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Please enter your User ID and Password:	
User ID:	<input type="text"/>
Password:	<input type="password"/>
<input type="button" value="Submit"/>	

Figure 61

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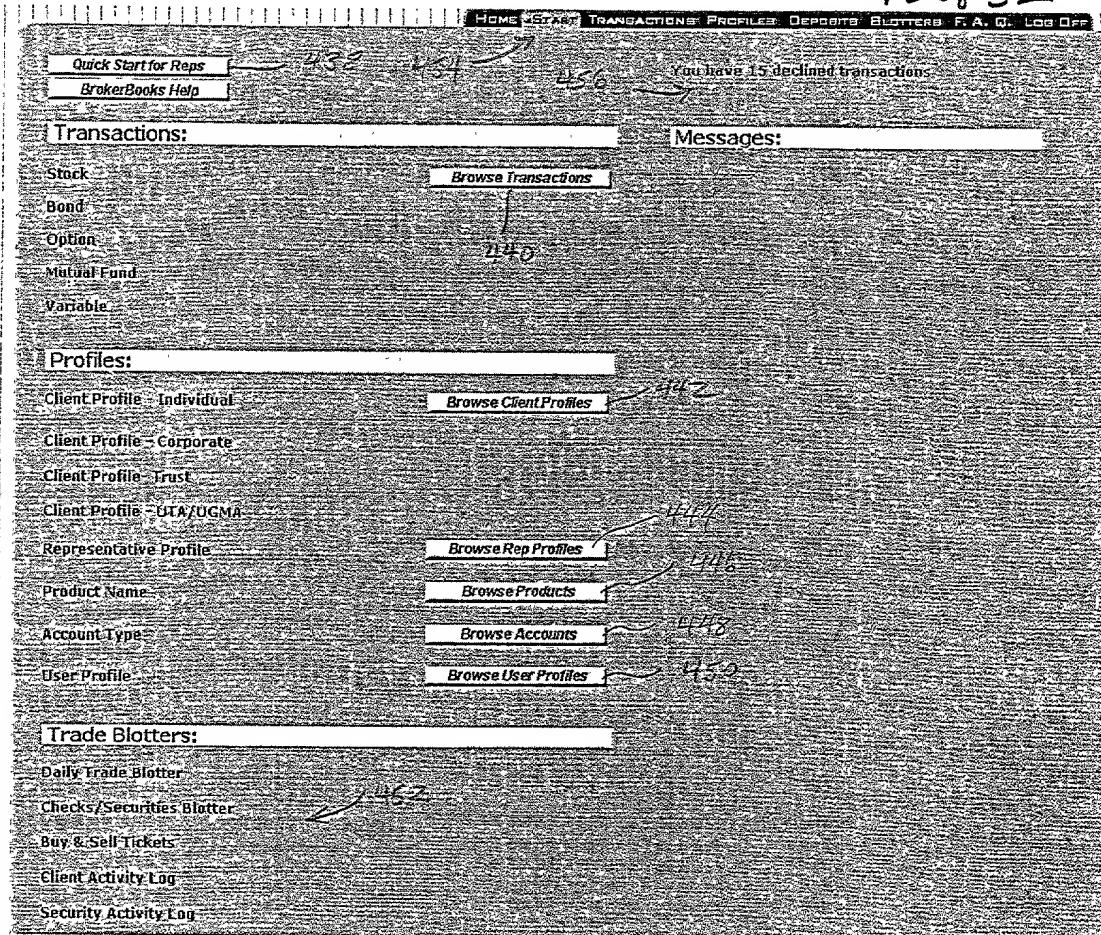


Figure 62

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1- 8 of 329 records						
You have 15 declined transactions						
To sort click on column header						
Client Name	Client Account Number	Transaction Date/Time	Rep. Name	Transaction Option	Product	Status
LaFore, David W.	100	02/04/2023 01:12 pm	Brennan, Kyle	Stocks	International Bead Makers	Appr. View/Edit
Adrian, Sharon		03/30/2002 12:00 pm	Brennan, Kyle	Mutual Funds	Mutual Fund MX1	Pend. View/Edit
Abbott, Jake		03/30/2001 03:50 pm	McConnell, Steve	Mutual Funds	Mutual Fund MX1	Pend. View/Edit
Abbott, Jake		03/30/2001 12:00 pm	McConnell, Steve	Mutual Funds	Mutual Fund MX1	Pend. View/Edit
Abbott, Jake		03/30/2001 12:00 pm	McConnell, Steve	Mutual Funds	Mutual Fund MX1	Pend. View/Edit
Adrian, Sharon		03/30/2001 12:00 pm	Brennan, Kyle	Mutual Funds	Mutual Fund MX1	Pend. View/Edit
Greene, Ken	2	03/28/2001 12:00 pm	Brennan, Kyle	Mutual Funds	Mutual Fund MX1	Pend. View/Edit
Greene, Ken	2	03/28/2001 12:00 pm	Brennan, Kyle	Mutual Funds	Mutual Fund MX1	Pend. View/Edit

Page 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30 31 32 33 34 35 36 37 38 39 40 41 42

Next | Bottom | New Transaction

466

Approved Only Declined Only Pending Only All

Search by: Client Name Product Name

String for search:

Date from: / / 467

Date through: / / 468

Search | All Records

Home Start Transactions Profiles Deposits Blotters F.A.Q. Help Log Off Contact Us

Figure 63

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Client Name		Client Type	Creation Date	
Aardith, Michael		Individual	11/07/2000	Edit/Delete
Abbott, Jake		Individual	10/09/2000	Edit/Delete
Acme Corp		Corporate	06/29/2000	Edit/Delete
Adams, Joe		UTA/UGMA	06/29/2000	Edit/Delete
Adrian, Sharon		Individual	11/01/2000	Edit/Delete
Adrian, Sharon		Individual	11/01/2000	Edit/Delete
Ammon, Christopher P.		Individual	09/26/2000	Edit/Delete
Anderson, Jane		UTA/UGMA	06/27/2000	Edit/Delete

1-8 of 68 records
To sort click on column header

Page: 1 2 3 4 5 6 7 8 9 10 11

To Previous Next Bottom New Client

Search by Client Name String for search: 474 Select Different Profile 476

Home Start Transactions Profiles Deposits Blotters F.A.Q. Help Log Off Contact Us

Figure 64

09/05/2000 09:00 AM

518452

HOME	START	TRANSACTIONS	PROFILES	DEPOSITS	<input checked="" type="checkbox"/> BLOTTERS	F.A.Q.	LOG OFF
Daily Trade Blotter							
<i>Select Different Blotter</i>							
beginning transaction date in format MM/DD/YYYY ending transaction date in format MM/DD/YYYY							
Run report for <input type="text"/> / <input type="text"/> / <input type="text"/> through <input type="text"/> / <input type="text"/> / <input type="text"/>							
<i>478</i> <input type="text"/> <i>120</i> <input type="text"/> <i>194</i>							
<input type="button" value="Print"/> <input type="button" value="View"/> <input type="button" value="Reset"/>							
To return to this page from the report click the "Cancel" or "Back" button on the report page							
Home Start Transactions Profiles Deposits Blotters F.A.Q. Help Log Off Contact Us							

Figure 65

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HOME START TRANSACTIONS Profiles Deposits Blotters F.A.Q. Log Off

USER PROFILE

Browse User Profiles New User Profile Select Different Profile

Fields marked with ***** must be filled in.

User ID:

Password:

Re-enter Password to confirm:

Last Name:

First Name:

Middle Name:

User Level (Check all that apply):

CD Select Branches (To select more than one Branch, use Ctrl or Shift buttons) 1007, 1008
 1007 1008

New Branch Select Branch (To select more than one Branch, use Ctrl or Shift buttons) 1007, 1008
 Branch Manager Select Branch 1007, 1008

Representative: New Rep Select Representatives (To select more than one Rep, use Ctrl or Shift buttons) 2229, 2564SV, 4304, 4400 Select by Rep ID Select by Rep Name Brennan, Kyle Brown, Marsha Crendall, Brian Crouse, Kelsey
 2229, 2564SV, 4304

User Access Rights (check all that apply):

Rep Profile Updates Update Stocks, Bonds and Options products ONLY
 Product Types Updates Update all product types (including Mutual Funds and Variables)
 Account Types Updates User Profile Updates

Home Start Transactions Profiles Deposits Blotters F.A.Q. Help Log Off Contact Us

Figure 66